



U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

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F EDERAL  
F IREARMS  
L ICENSING  
C ENTER

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Standard Operating Procedures  
Legal Instruments Examiner  
September 2018

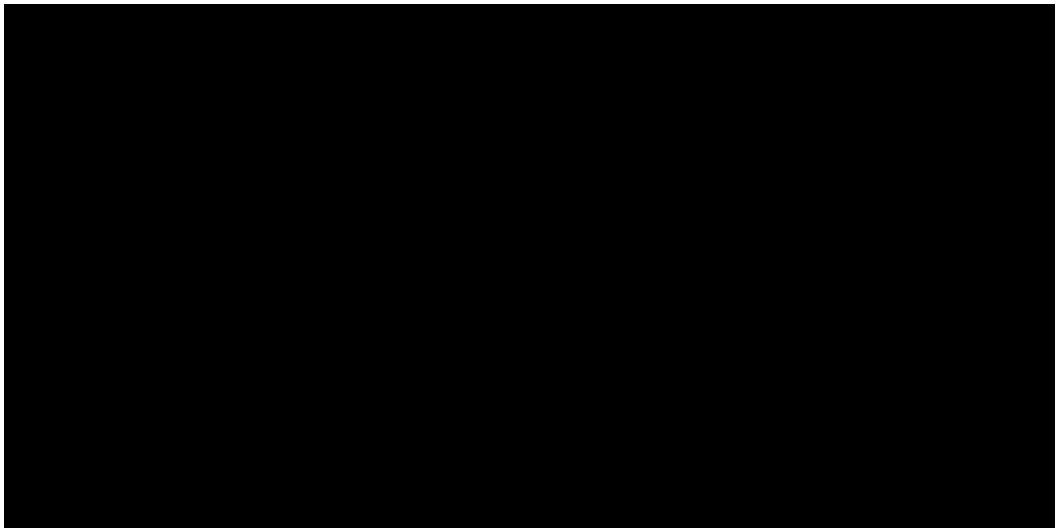
## **CHAPTER 4            LEGAL INSTRUMENTS EXAMINERS**

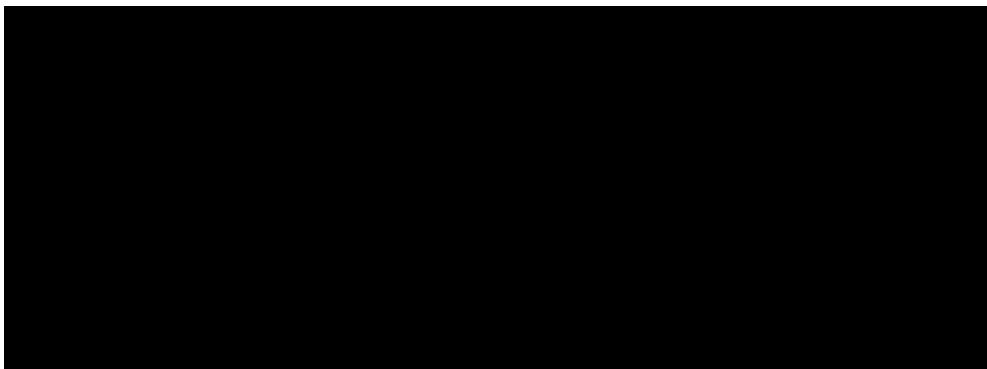
**IMPORTANT:** Examiners are responsible for adding comments to FLS during the processing of all types of applications and related actions thereof to leave an audit trail of useful information including specific actions, dates, points of contact and other relevant data pertaining to the records.

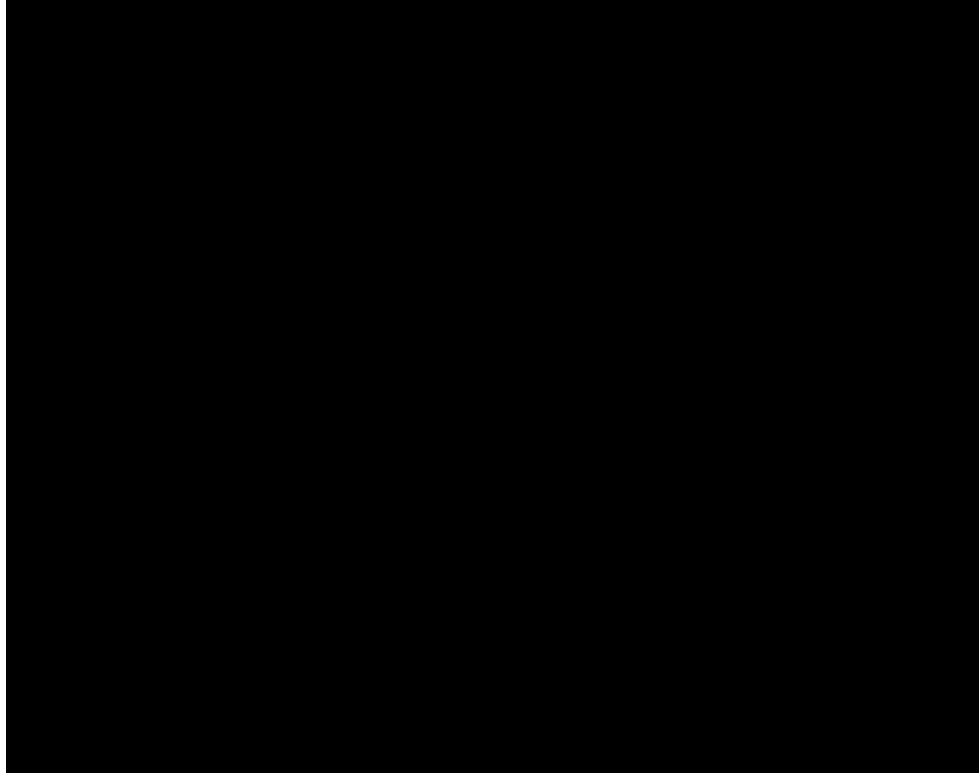
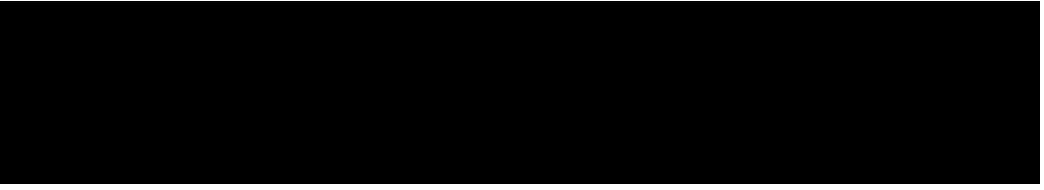
The Chief, Federal Firearms Licensing Center shall approve or the Director of Industry Operations shall deny an application for a license within the **60-day** period, which begins on the date the application is perfected.

### **4.1     Customer Service**

Provide Customer Service to the general public, the firearms industry and other ATF offices as required (Refer to “JTMS courses.”)

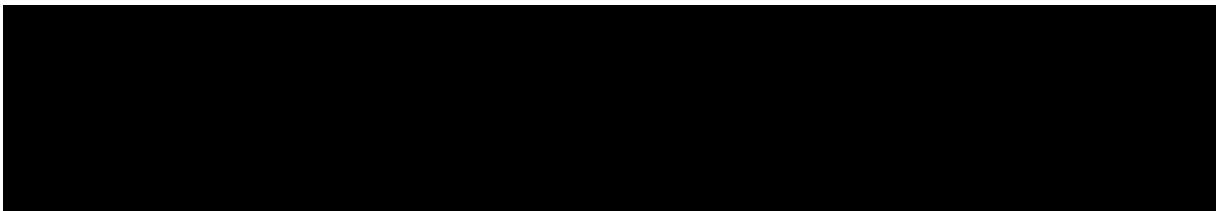
- A.     Respond to all e-mail inquiries.  


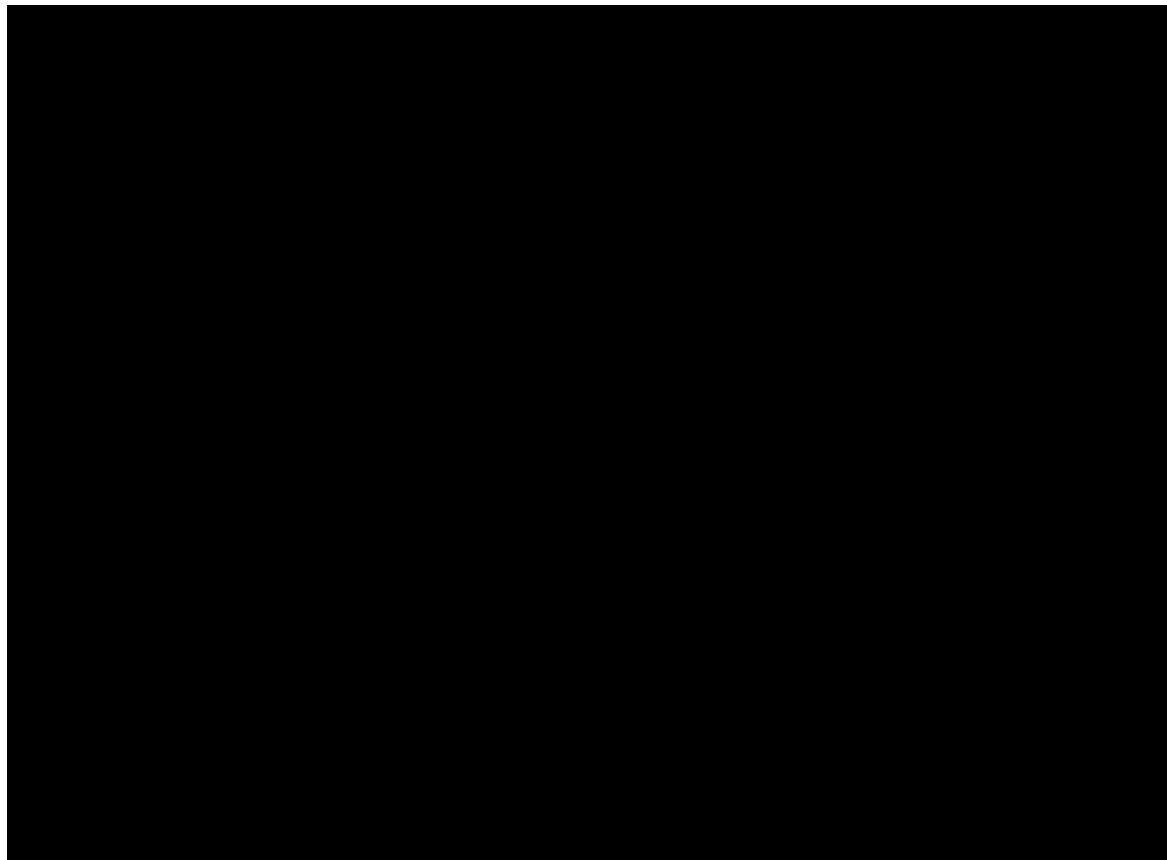
- B.     Respond to all telephone inquiries (includes FFL EZ Check toll free line).  


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- 4.2 Examine Applications for Federal Firearms License ATF Form 7/7CR**
- A. Compare the information shown on the ATF form 7/7CR with target sheet to verify correctness.
  - B. Determine if the application has been signed by an authorized responsible person. Do not forward the application to the field without at least 1 RP.
  - C. Verify that all applicant data was entered correctly in FLS. Double check all RPs date of birth to ensure the correct DOB was entered.
  - D. The application should be reviewed for accuracy and completeness. If corrections or additional information is needed, use the Area Office Transmittal Checklist (Exhibit 7) and forward the application to the Area Office (Refer to 4.11).
  - E. Some Area offices prefer to receive perfected applications. In this instance, prepare and mail the appropriate correspondence to request the needed information from the applicant (Refer to Section 4.8).

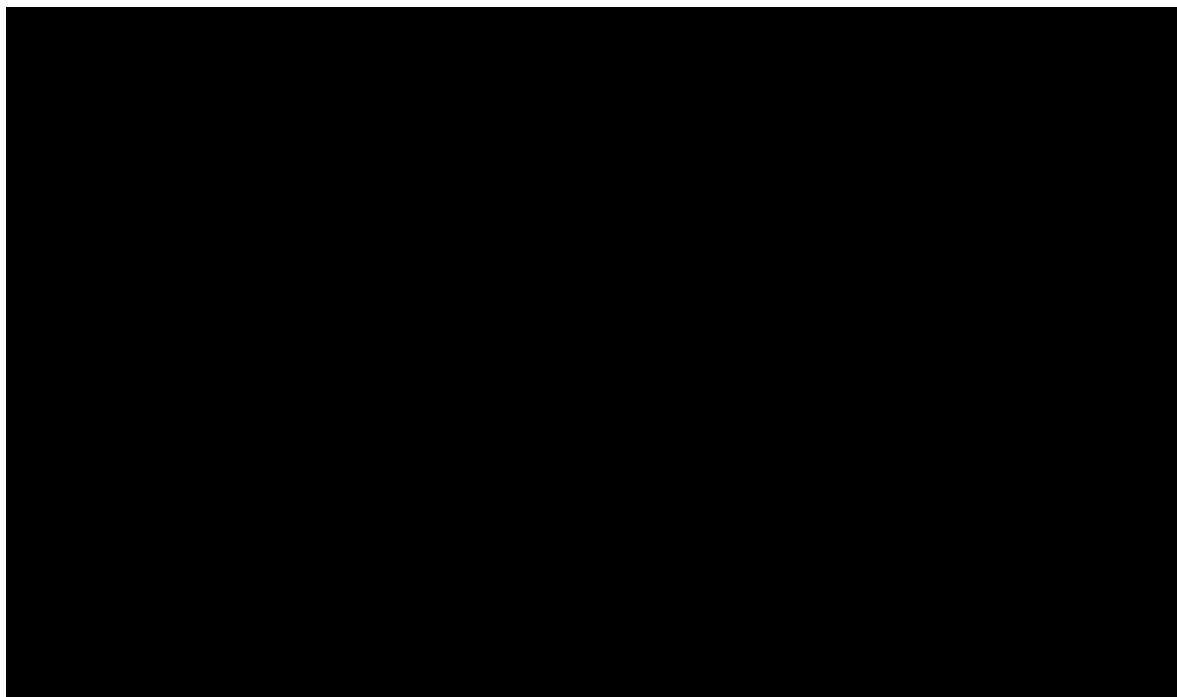
- F. Review proof of payment to determine that the application has been matched with the correct check and that the appropriate fee was submitted. If additional funds are needed, send the appropriate FLS correspondence to the applicant. The additional funds should be sent directly to the responsible examiner, not collected by the IOI or sent to the lockbox.
- G. Verify receipt of a current photo and fingerprint cards for each responsible person. Responsible Persons Questionnaires (RPQ) (ATF F 7(5310.12A)) are required for all RP's. Additional RPQs can be obtained on atf.gov/firearms/forms
- H. Refer to the Examiner SOP for Background Checks, Chapter 2 for Non-Immigrant Aliens and Permanent Resident Aliens.
- I. Review the Fingerprint Card(s) for acceptable prints on all responsible persons and make certain that all pertinent information is provided. Check the cards for smudges; verify that our office name and **correct ORI** are shown. (Refer to Exhibit 5). Our ORI code is WVATF1100.
- J. Submit the completed fingerprint cards and completed Fingerprint Card Transmittal Log (Refer to Exhibit 6) to the Fingerprint Card Scanning System (FCSS) POC for review and scanning. RP's must be entered in FLS prior to submitting fingerprint cards / fingerprint transmittal log. RP's on the same license should be entered on the transmittal log grouped together.
- K. The criminal history should be viewed by checking the Automated Criminal History (ACH) screen for each responsible person. If there is no entry or response within 3 days, a manual query may be performed (Refer to the Background SOP). Clearance of an RP's background requires ACHC, and NICS for ALL active RP's regardless of license type.
- L. Add comments to FLS for issues relating to the records & change disposition to Area Office Review when sending to field for review.

**4.3 Examine Applications for Federal Firearms License (Collector of Curios and Relics) ATF Form 7CR. \* This form was discontinued May 2017, retained in the SOP for historical purposes. Form 7CRs received after May 2017 should be returned to the applicant, (See Section 4.45).**



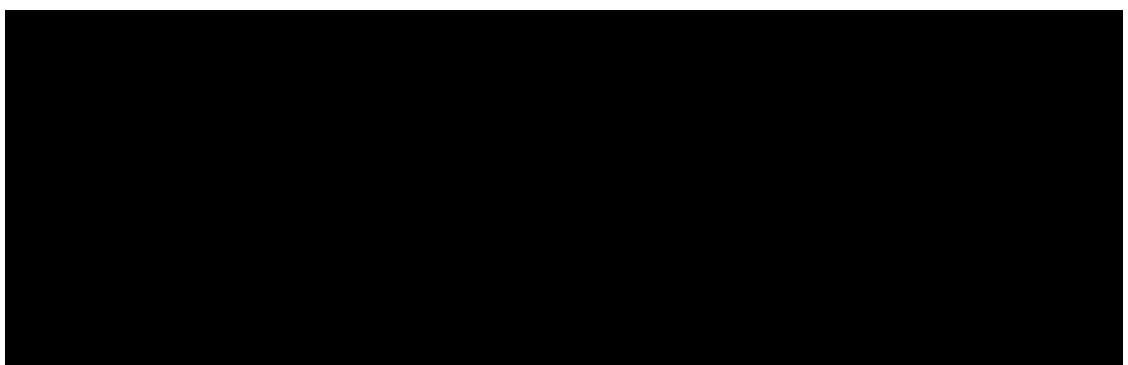
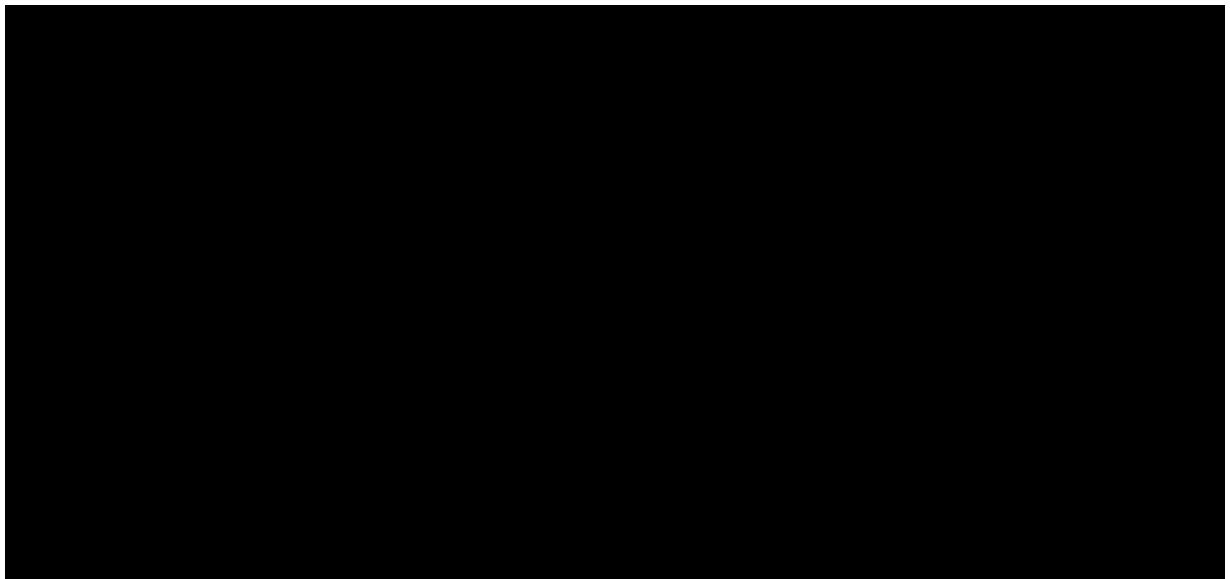


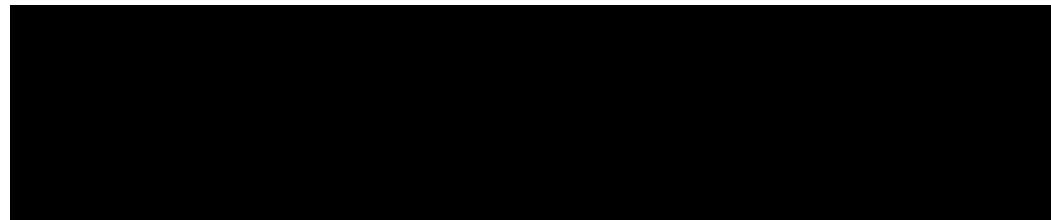
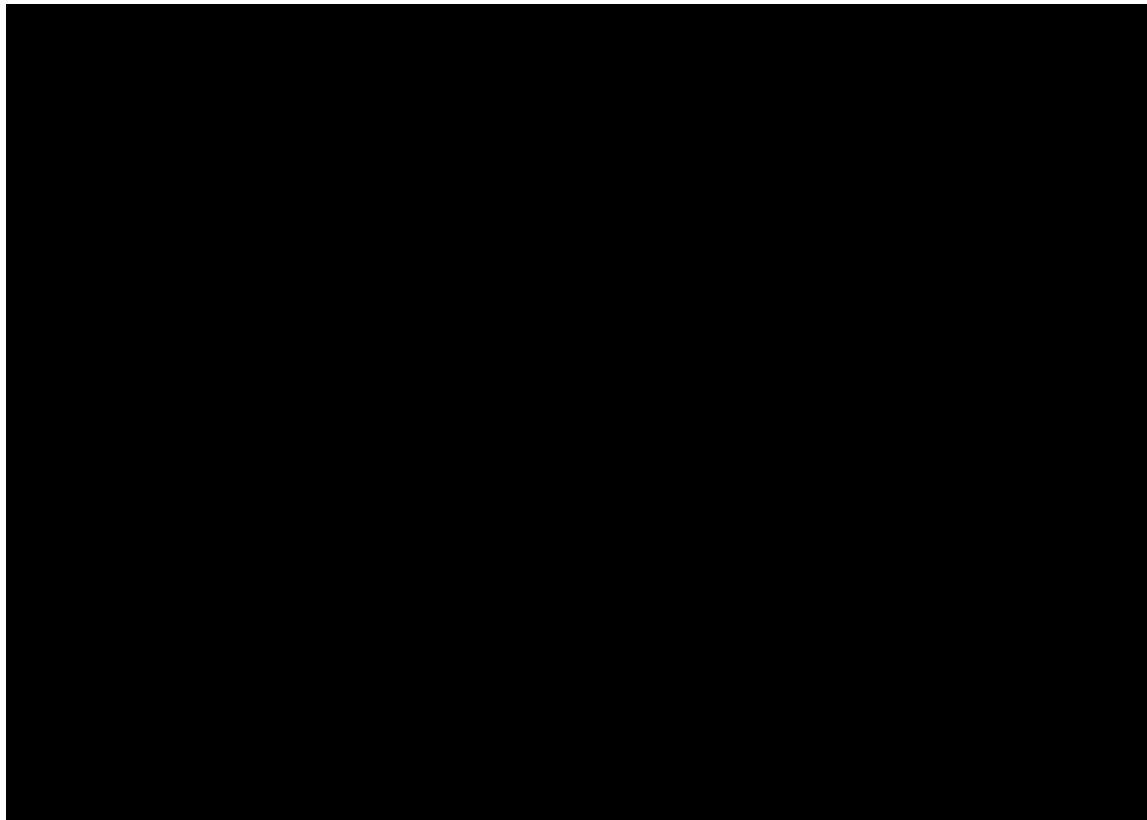
**4.4 Examine Renewal Applications for Federal Firearms License ATF Form 8**



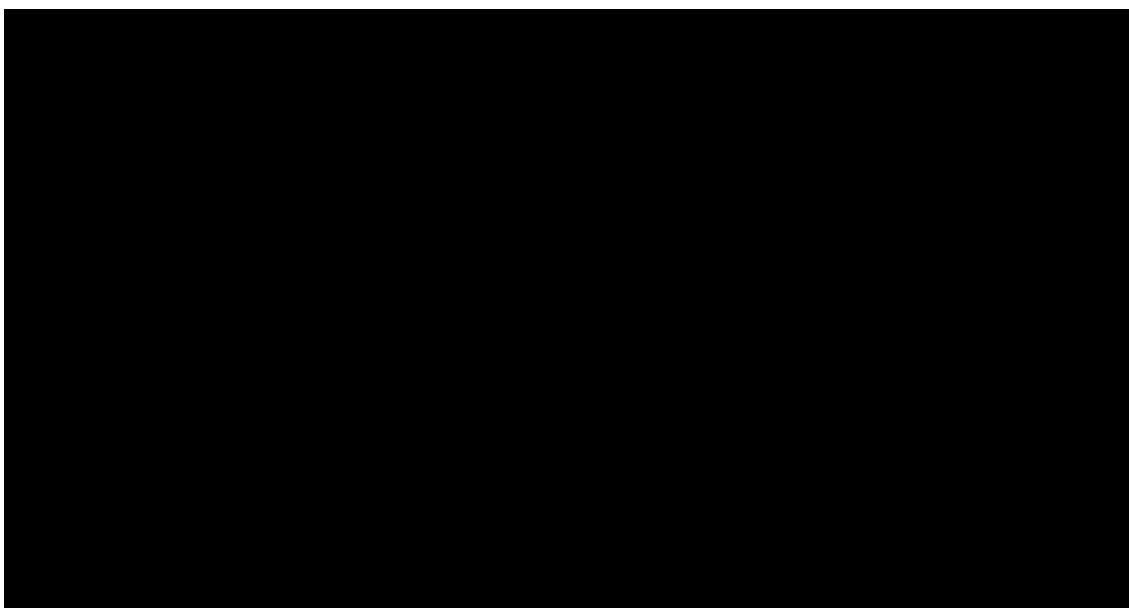


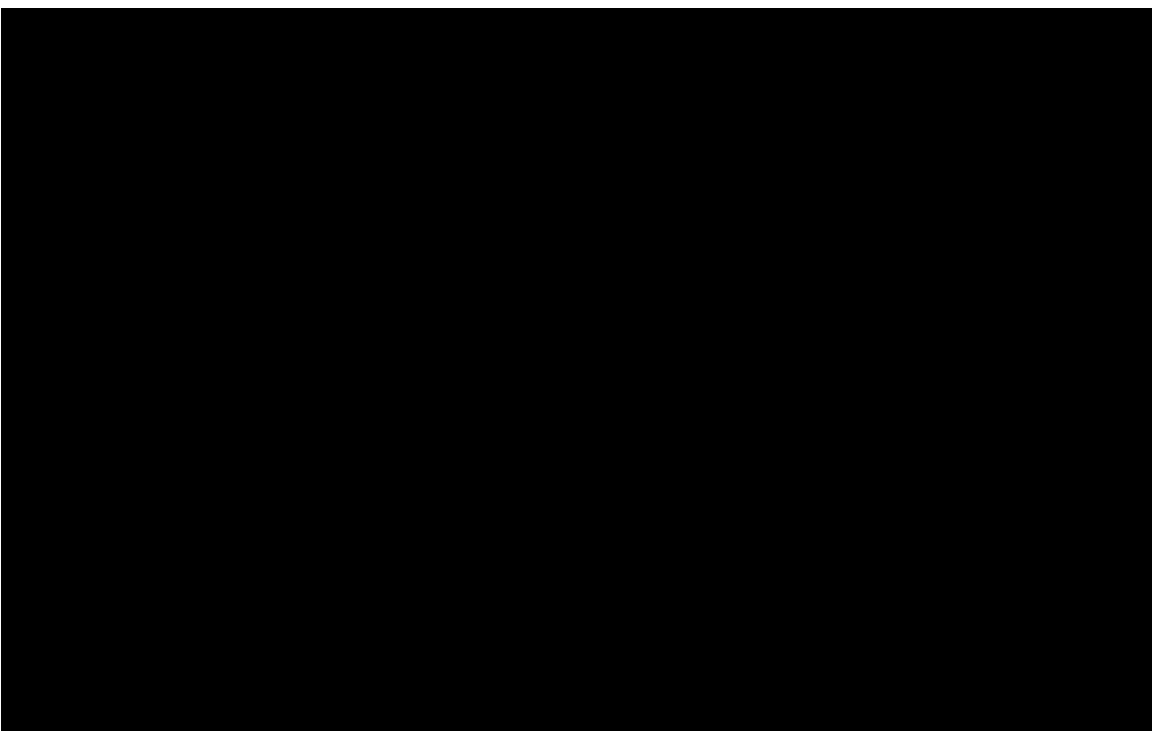
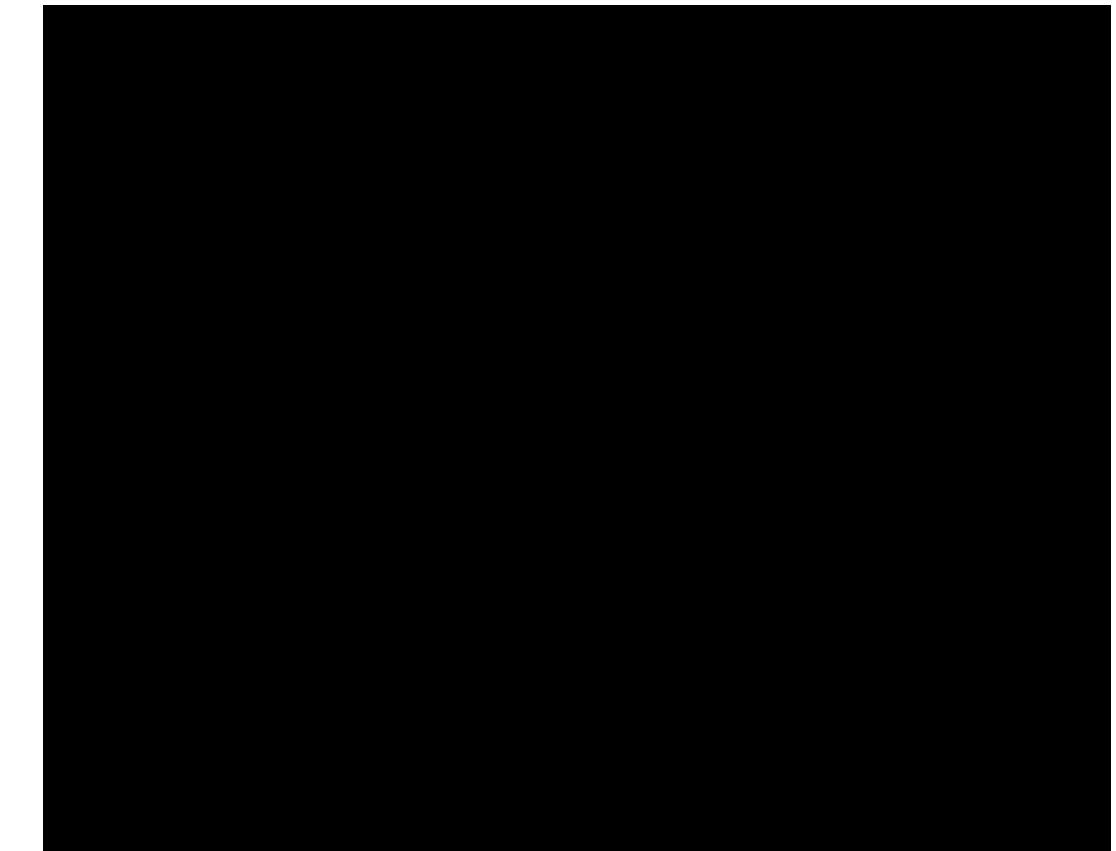
**4.5    Examine Applications for an Amended Federal Firearms License ATF  
Form 5300.38 (Moving within the same State or District)**





**4.6    Examine Applications for an Amended Federal Firearms License ATF  
Form 5300.38 (Moving State-to-State or Different District)<sup>5</sup>**





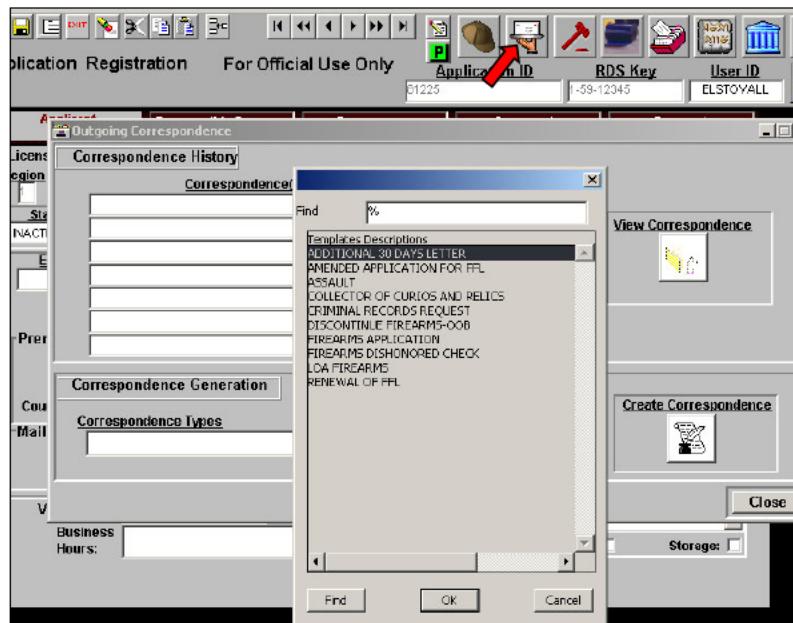


#### **4.7 Generating Outgoing Correspondence in FLS**

**The outgoing correspondence module of FLS is generally used to generate letters to the applicant/licensee requesting additional information needed to process the application. This correspondence includes but is not limited to; Return for Correction (see Section 4.9,) Letters of Authorization (see Section 4.22) and Criminal Arrest Letters (see Section 4.23.) When generating outgoing correspondence the following steps should be taken.**

- A. While in the Application Registration screen of FLS, click on the icon at the top right that looks like a hand holding an envelope (see Figure 3.)
- B. The Outgoing Correspondence Menu box will appear
- C. Click on Outgoing Correspondence under the header Licensing Center (FELC/FFLC)
- D. The Outgoing Correspondence box will appear
- E. Click on the clipboard beside the field titled Correspondence Types (see Figure 3)
- F. Select the type of correspondence you will be sending
- G. Click Create Correspondence
- H. The template for the correspondence you have chosen will appear
- I. Make the appropriate changes to the applicant/licensee name, address and return address to ensure that all information is complete and accurate
- J. Click Save, print and stamp the Chief's signature on the correspondence if the correspondence will be mailed by hard copy to the applicant/licensee
- K. If the correspondence will be emailed to the applicant/licensee, insert the Chief's electronic signature (see Exhibits 37 and 38) and email the completed correspondence to the applicant/licensee

- L. Correspondence previously saved and sent using this process can be viewed by clicking on the correspondence in the correspondence history and then clicking View Correspondence



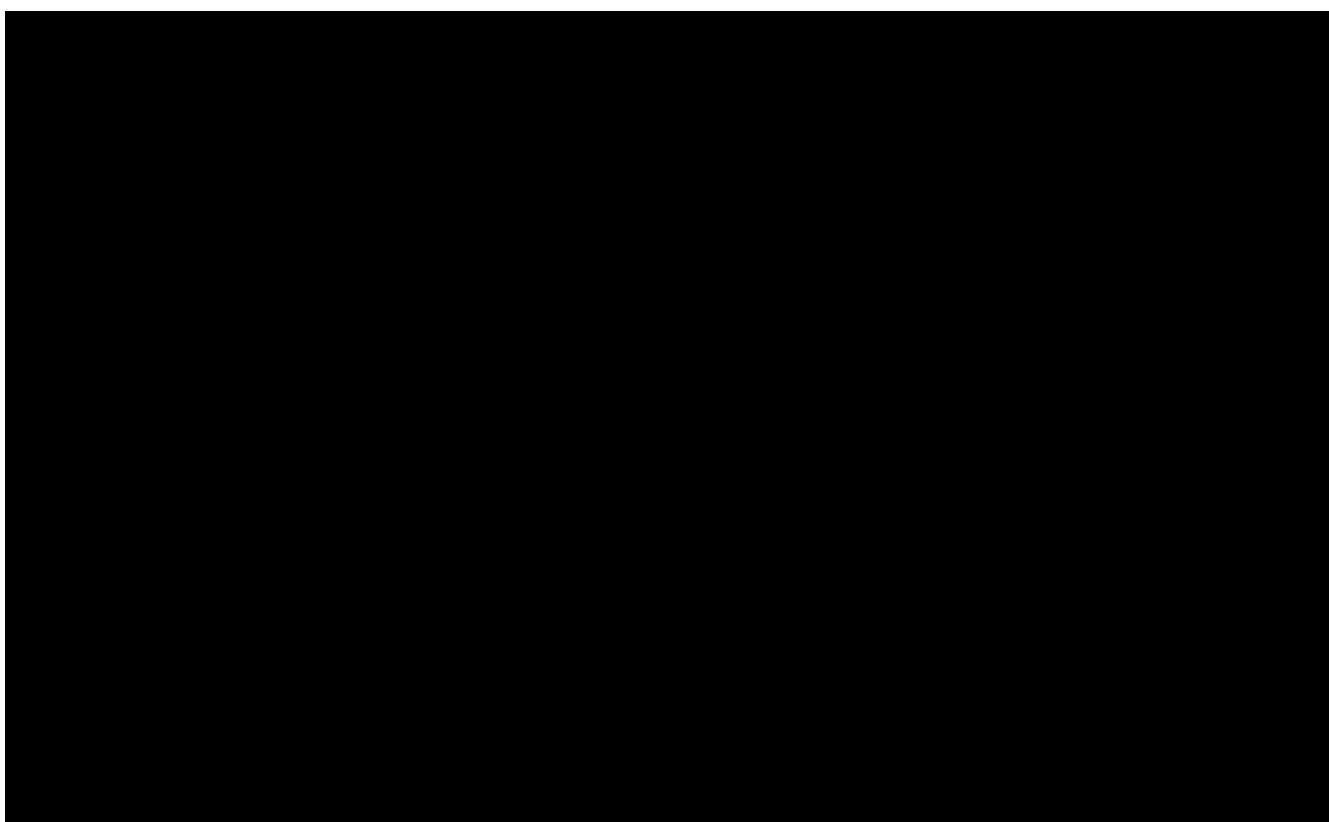
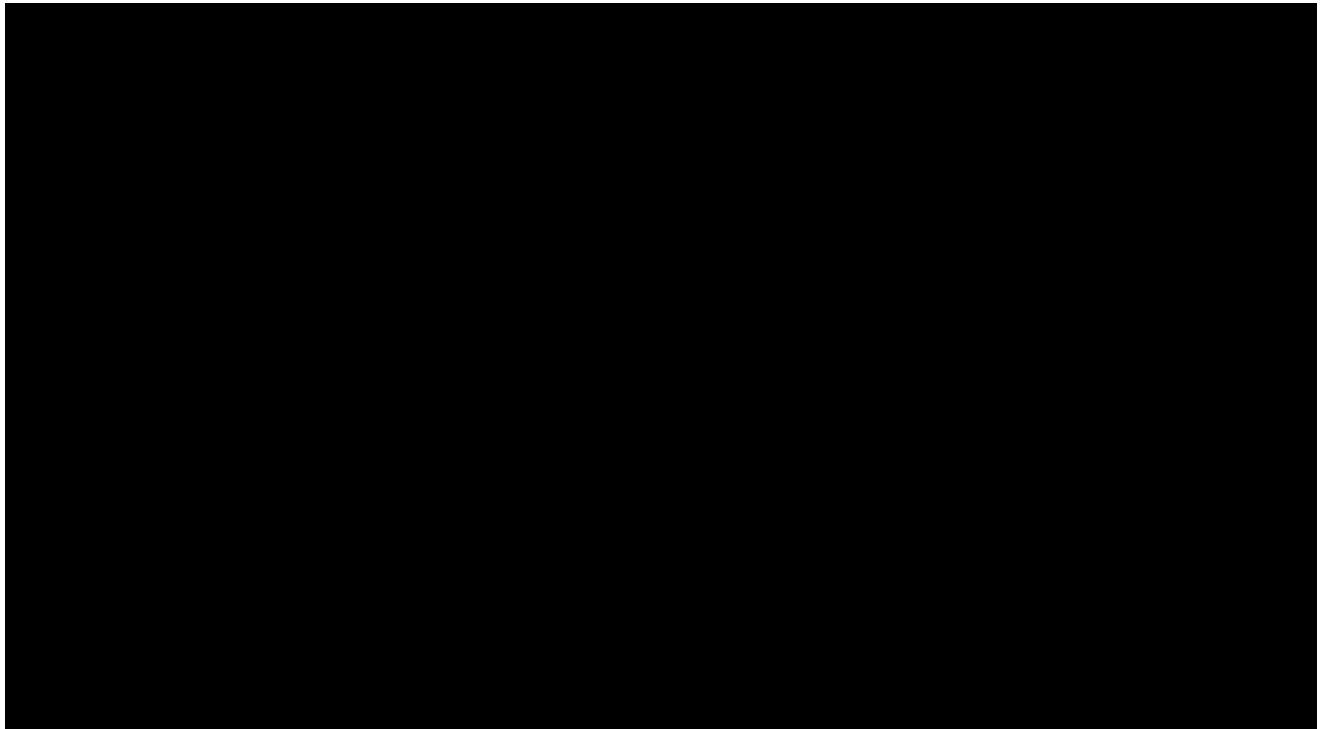
**Figure 3 – Computer Form Letters**

#### **4.8 Applications Returned for Corrections**

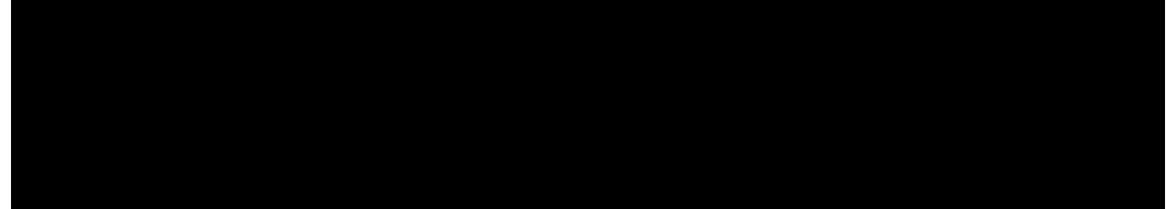
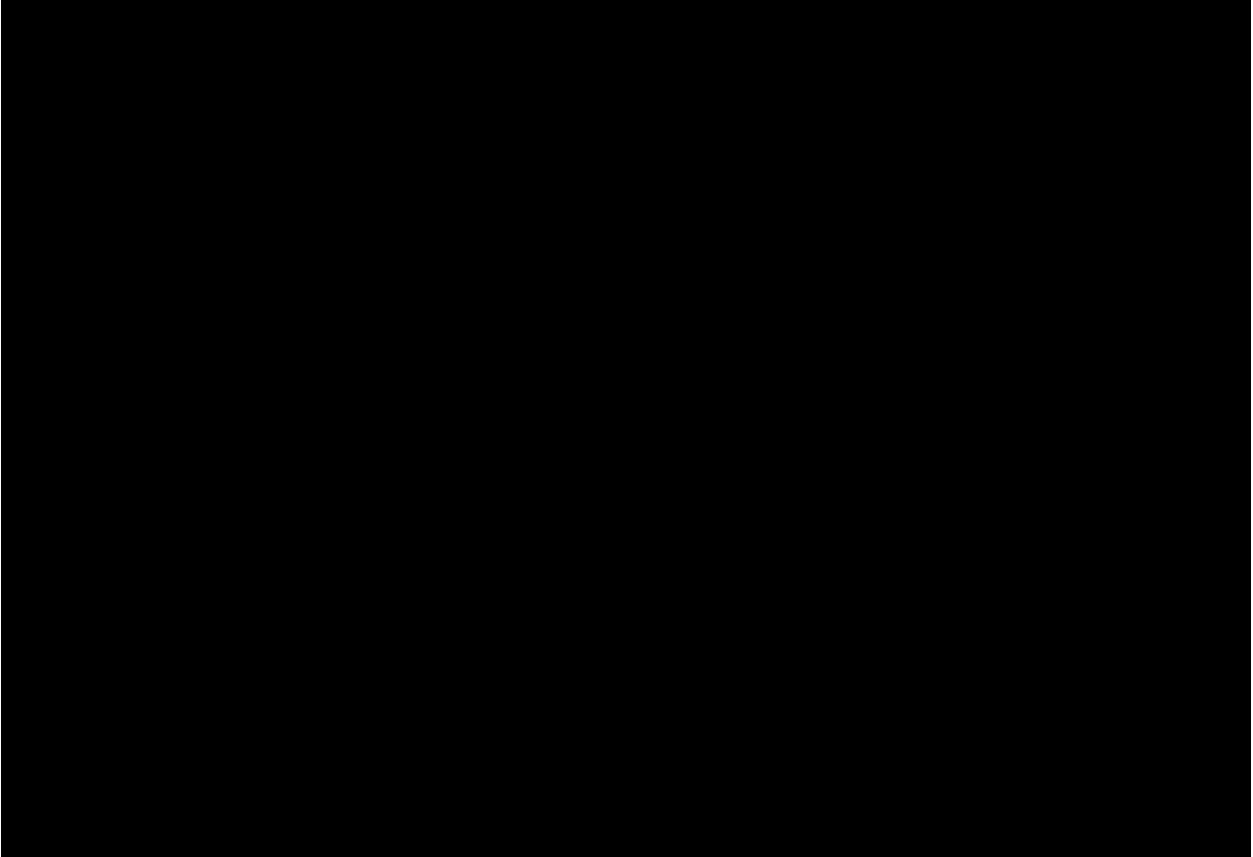
New Applications (ATF Form 7) needing corrections or additional information will be referred to the Area Office by utilizing the Area Office Transmittal Checklist (Exhibit 7). If no responsible persons have been listed in item 22, return the application to the applicant to complete. Do not forward the application to the field without at least 1 RP in item 22.

- A. When it is necessary to return an application, all items that need to be completed or clarified will be circled in red ink or highlighted, a copy of the front and back of the new application will be made, and the return for correction letter will be generated in Outgoing Correspondence in FLS (fig. 3) in duplicate.
- B. The Examiner will maintain a pending file until complete and accurate information is provided by the applicant or the application must be abandoned after 45 days from the date on the letter. Reference section 4.15. As a courtesy the examiner should place a call to the applicant prior to abandoning the application.
- C. Bold and highlight the FFLC address on the Return for Correction Letter prior to sending to the applicant.

#### **4.9      Reasons for Returning Renewal Applications**



#### **4.10 Delinquent/Untimely Renewals**



#### **4.11 Area Office Review**

The Federal Firearms Licensing Center is required to coordinate with Field Offices for the processing of all New Firearms applications, certain Renewal applications, and some Curios and Relics. Some Field Offices review all amended forms. This process involves forwarding applications to the Area Office that is responsible for a particular geographical area. See Exhibit 28 Examiner State Specific Criteria.

- A. Review the appropriate application file in FLS and then select the disposition status entry “Area Office Review.”
- B. **Copy 1** of the application, Area Office Transmittal Checklist (Exhibit 7,) and relevant attachments (with the exception of the target sheet and check copy) are sent to the Area Office.

- C. A copy of the application, target sheet, Area Office Transmittal Checklist and check copy are placed in the “Pending Inspection” file, in numeric order by District. The pending files should be monitored monthly to ensure applications are processed in a timely manner.
- D. The Area Office will provide recommendations via the generation of an email notification of the “Post Inspection Information” to the FFLC. The original report and perfected application will be saved to the shared drive for retrieval and/or imaging. See the SOP for Electronic Inspection Reports for reference.
  - 1. Post Inspection Information (PII): The Application Registration screen should be updated with any additions/corrections. The hard copy target sheet, check copy, and documents reflecting recommendations can be filed in a “Holding Status file” until the inspection report and application are received from the Area Office (Refer to Section 4.12).
  - 2. Email: The Area Offices are required to send a PII as of October 1, 2005. Area Offices are required to list any amendments to the application in the PII. The Examiner may accept Emails from the Area Office Supervisor authorizing issuance or any other action on a license.
  - 3. Inspection Reports (Exhibit 10): When the PII is received, the application is pulled from the “holding file.” Verify all items listed on the Area Office Transmittal Checklist (Exhibit 7) have been addressed and FLS updated, if necessary. The Application Registration screen should be updated with any additions, corrections, and the inspection date. The license disposition should be changed to license issued, abandoned, or withdrawn.
  - 4. Application Execution: On the reverse side of the F7, F7CR, Amended and F8 applications, check “approved” and initial. The Chief’s signature stamp is affixed and the application approval date is added from FLS. **It is very important for audit purposes and court purposes that we execute ONLY Copy 1 in final form.**

#### **4.12 Post Inspection Information (PII)**

The Area Office Supervisors will send the inspection recommendation to FFLC utilizing Microsoft Outlook E-Mail.

- A. Email messages are sent to the FFLC Examiner responsible for the internal revenue district in which the applicant or licensee is located. Based upon the content of the email, the Examiner will initiate the appropriate action (Issue, Withdraw, or Abandon).
- B. When action has been completed, the Examiner will forward the email message to the “FFLC Completed Actions” shared folder/mailbox which will serve as an archive of all actions completed by the FFLC.
- C. The Examiner should flag FLS for pending denials and/or revocations based upon the PII recommendation through the use of the appropriate SAF (Special Attention Flag), and make a comment in FLS to reflect changes, noting the U.I. number of the report.

**Note:** To find the folder in Outlook, click on File, Click on Account Settings and then Account Settings again, click on the Email tab, then click Change, click on More Settings, click the Advanced tab, then Add, type in FFLC Completed and OK. Select the mailbox for the appropriate field office. Click Apply, then OK.

#### **4.13 Inspection /Compliance Reports**

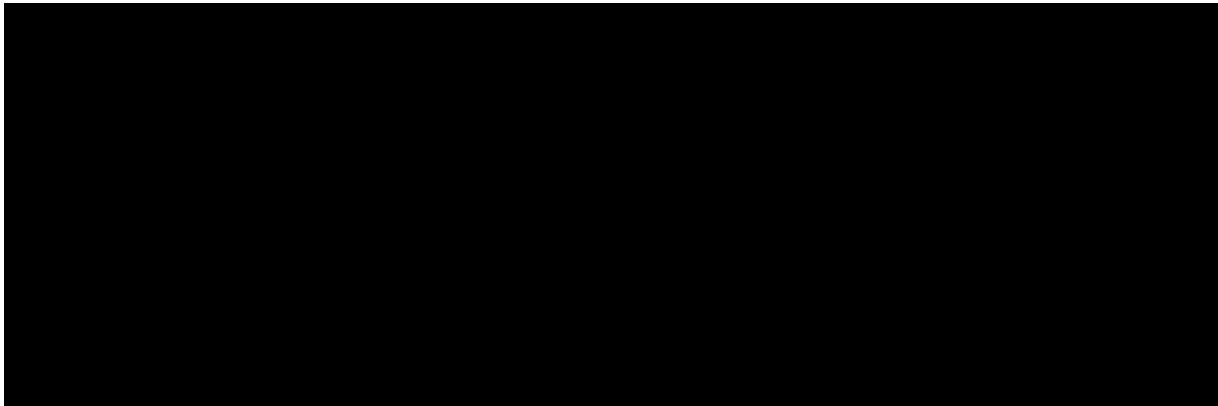
**The area office Supervisor will save completed inspection reports to the shared drive as outlined in the SOP for Electronic Inspection Reports. If an inspection report is received in hard copy:**

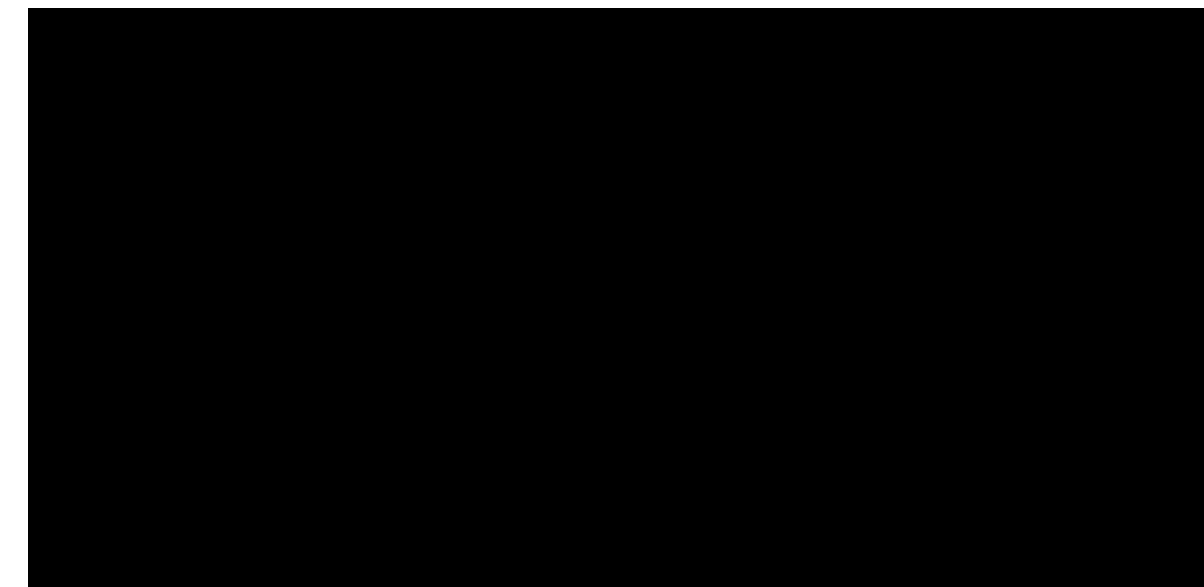
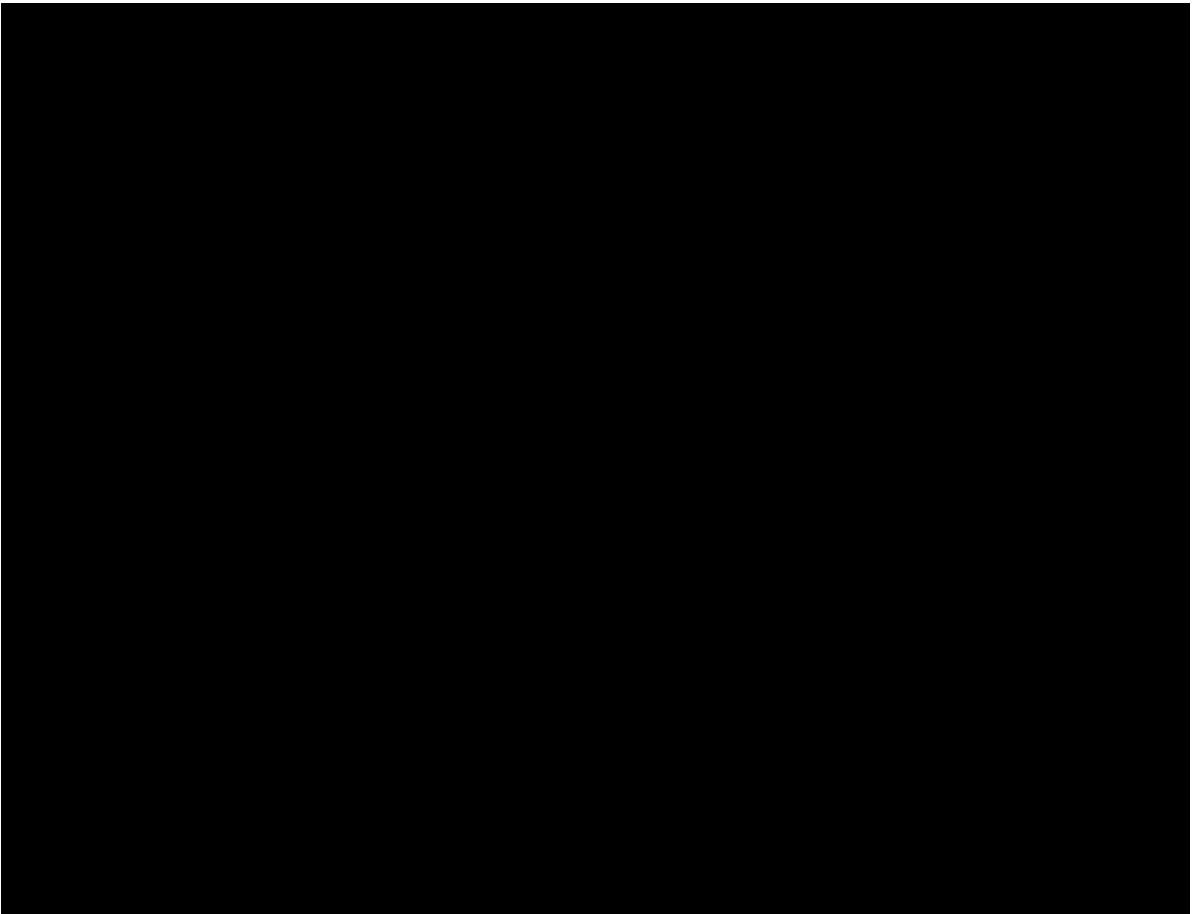
- A. Determine if the inspection report is a compliance inspection or application inspection.
- B. Review completed report for recommendations and changes. This can be found by looking at Item 11 & 13 of the report. If the report was generated for a new application, verify all items listed on the Area Office Transmittal Checklist (Exhibit 7) have been addressed and FLS updated, if necessary.
- C. Update FLS based on report content. Add a SAF (Special Attention Flag) code per the report and make comments in FLS to reflect changes, noting the U.I. (Unique Identifier) number of the report. If the report requests that a SAF be removed, email the Management Analyst or the Adverse Action Coordinator. See section 4.36 of this SOP.

- D. Update the Inspection Date box on the Application page of FLS with the date from the Review Date of Item 13 of the report. This will be the Area Supervisor review date.
- E. Change the Disposition if required. If information is updated or changed and FLS prompts, “History-No History”; choose History.
- F. If the report was generated for a new application and it has been approved, verify all items listed on the Area Office Transmittal Checklist (Exhibit 7) have been addressed and FLS updated, if necessary. Complete Item 29 of Form 7 by stamping the Chief’s name, marking approved and initialing. Enter the date as the date that the license was issued in FLS.
- G. For application generated inspection reports, send the documents to imaging with the perfected application, other related documents and the OF Target sheet which will be found in the area office review file maintained by the Examiner. For Compliance Reports, print an IR Target sheet and forward to imaging per the guidelines established in 4.32 of this SOP.
- H. If an inspection report returns with the recommendation stating, “Viols and Revocation – Non Renewal or Denial; refer this to the Adverse Action Coordinator to finalize with assistance from the Field Office.
- I. If an inspection report is received not associated with an RDS Key, review and determine if the report is associated with an RP on a license or a previous RDS. If no association can be made, pass the report to the Supervisor for filing.

**Note:** If a compliance report is received indicating a new FFL is required and the application is attached to the report, generate an OF target sheet. The new FFL and the inspection report will be filed under this target sheet.

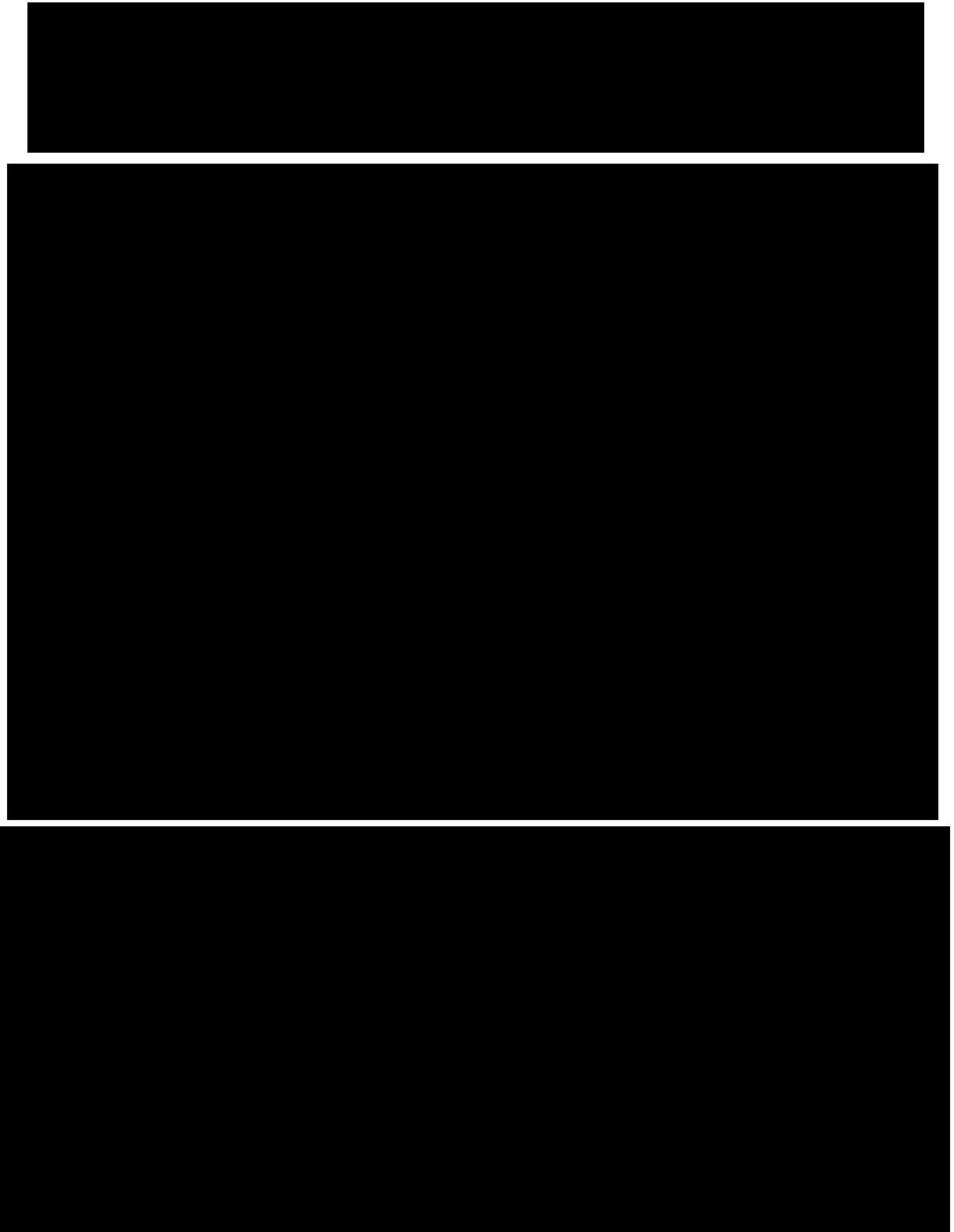
#### 4.14 Variance Processing



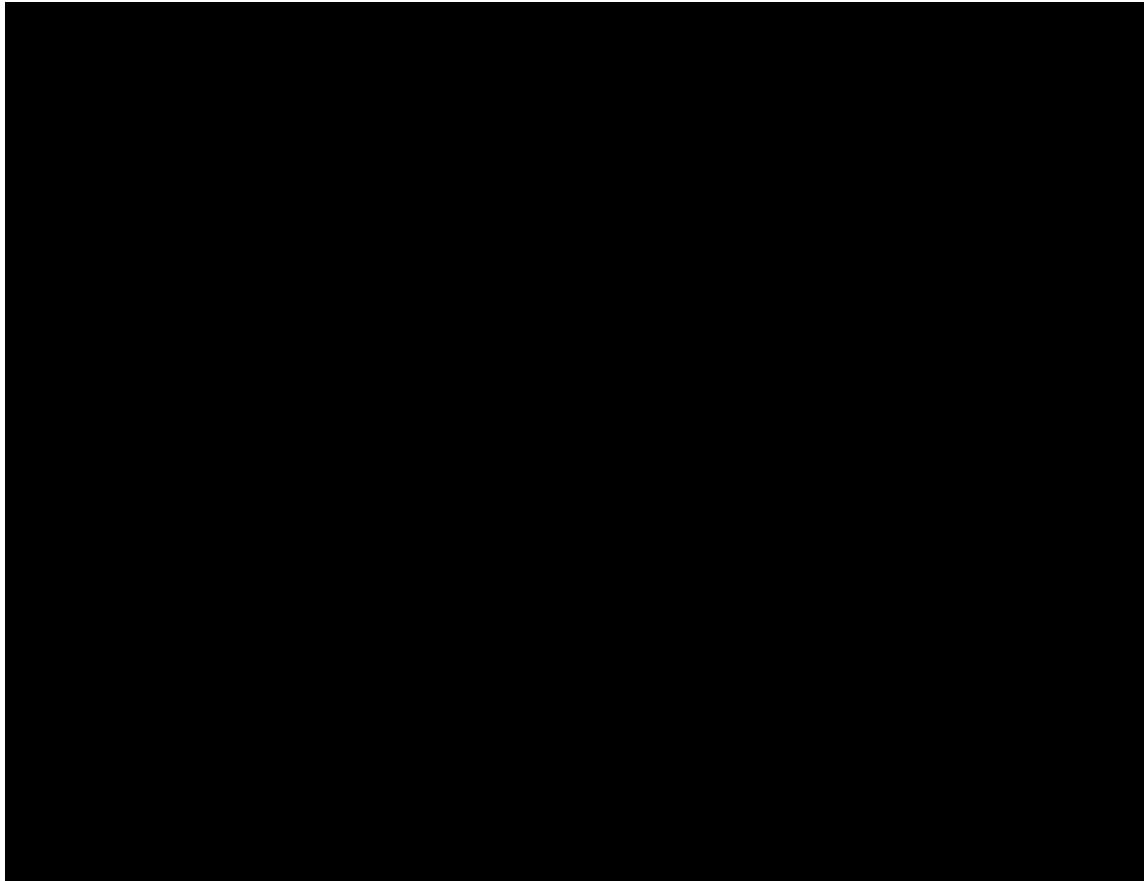


#### **4.15 Abandoned Applications**

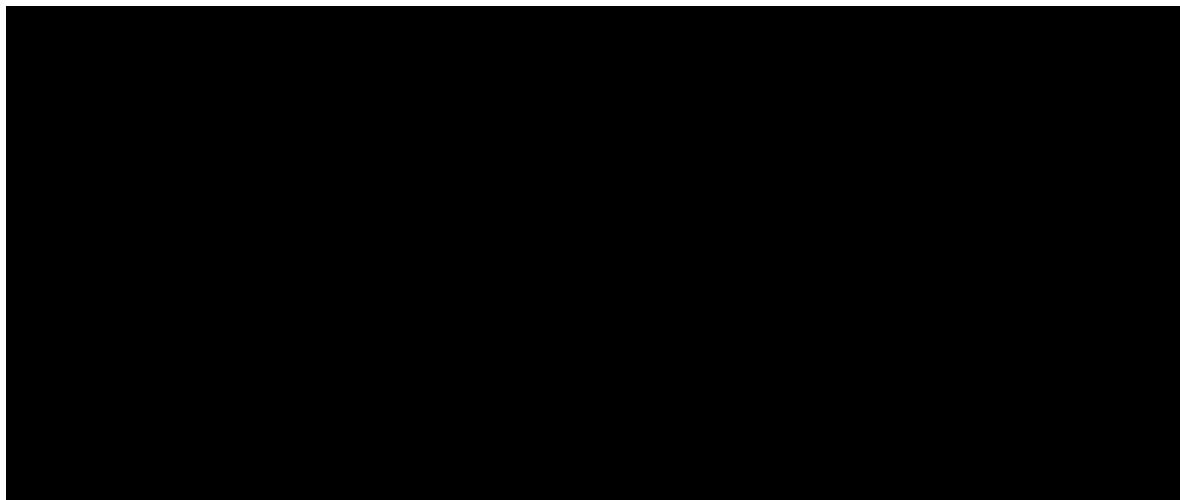




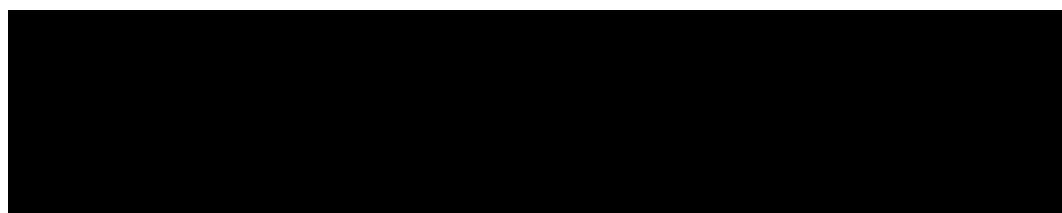
#### **4.16 Withdrawn Applications**

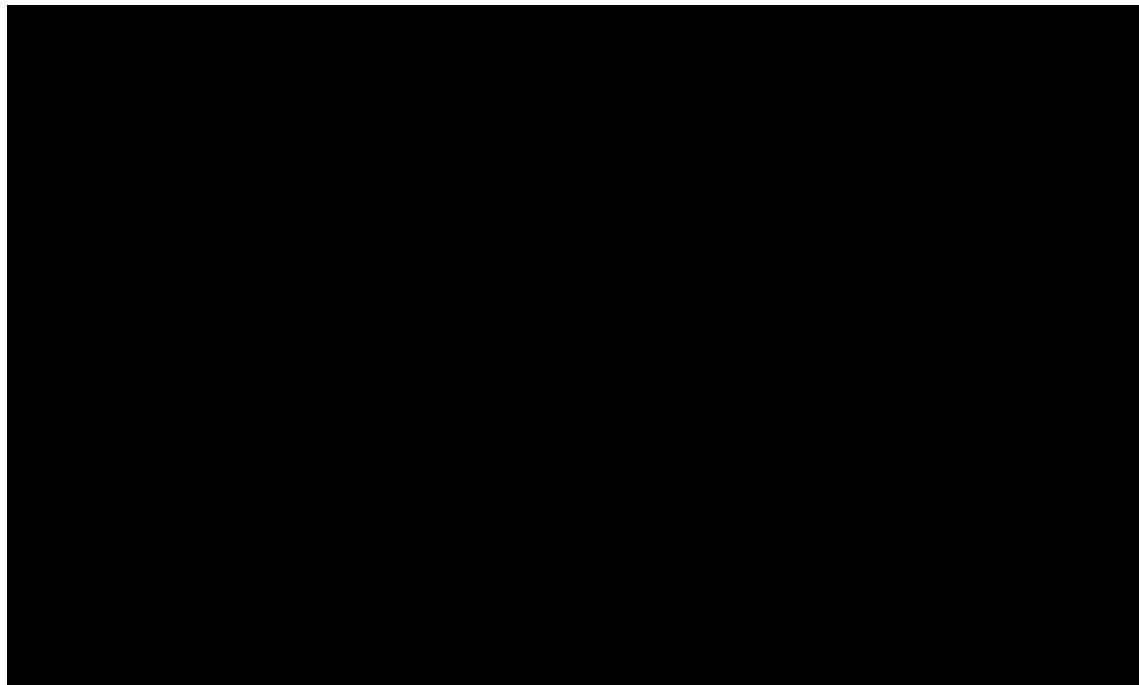
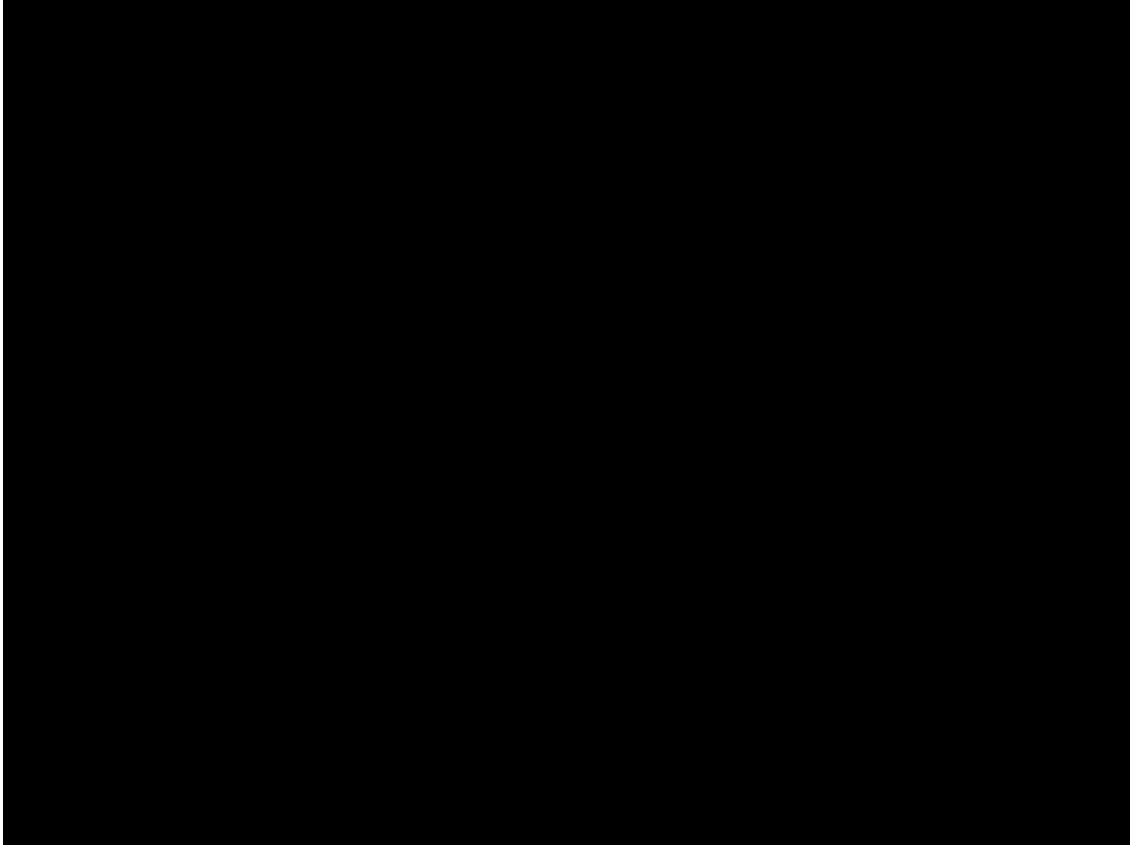


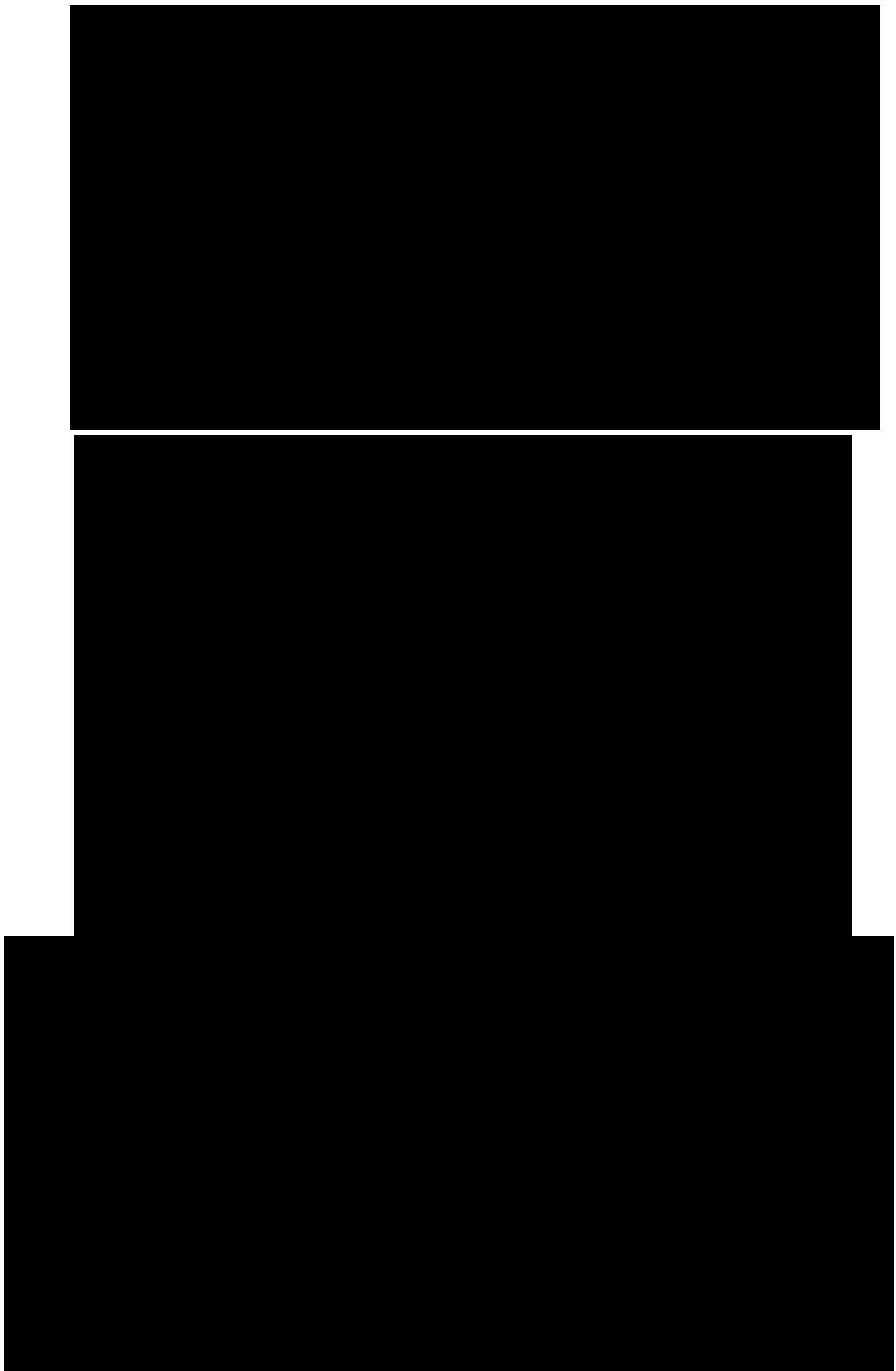
#### **4.17 Voiding Applications**



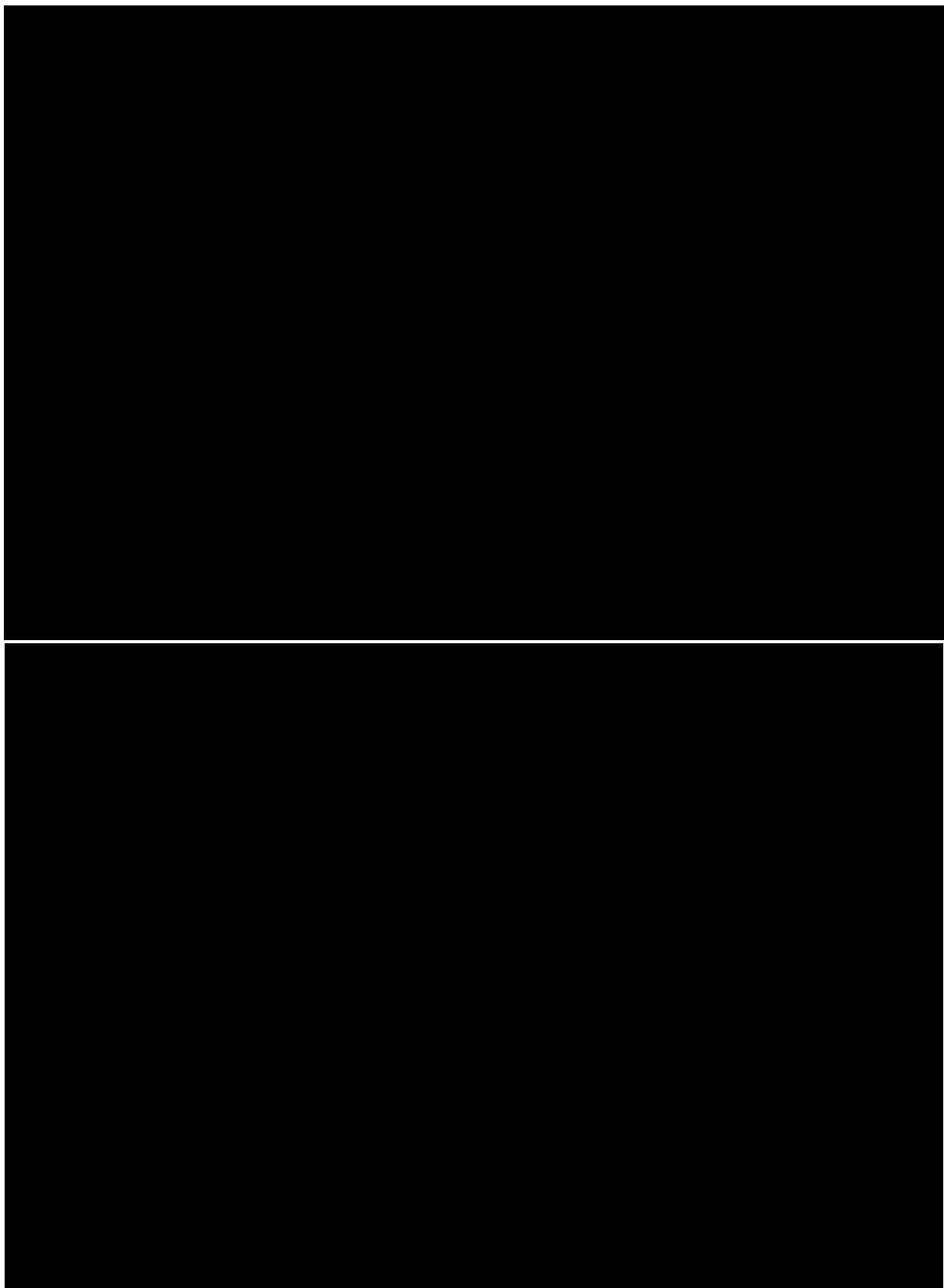
#### **4.18 Refunding License Application Fees**





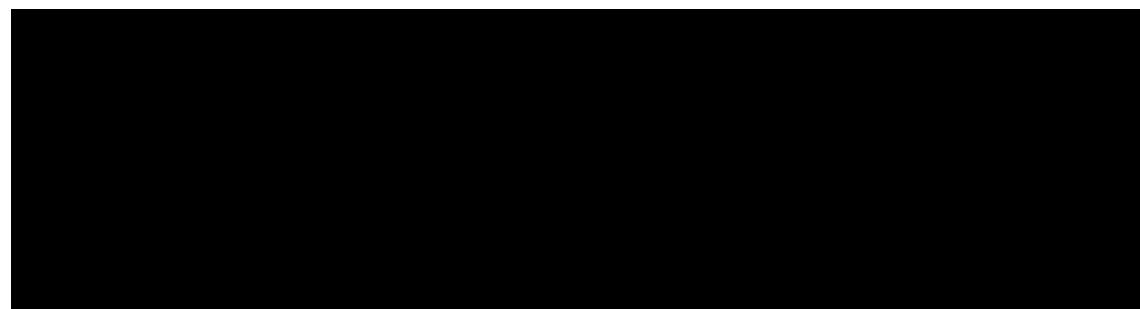
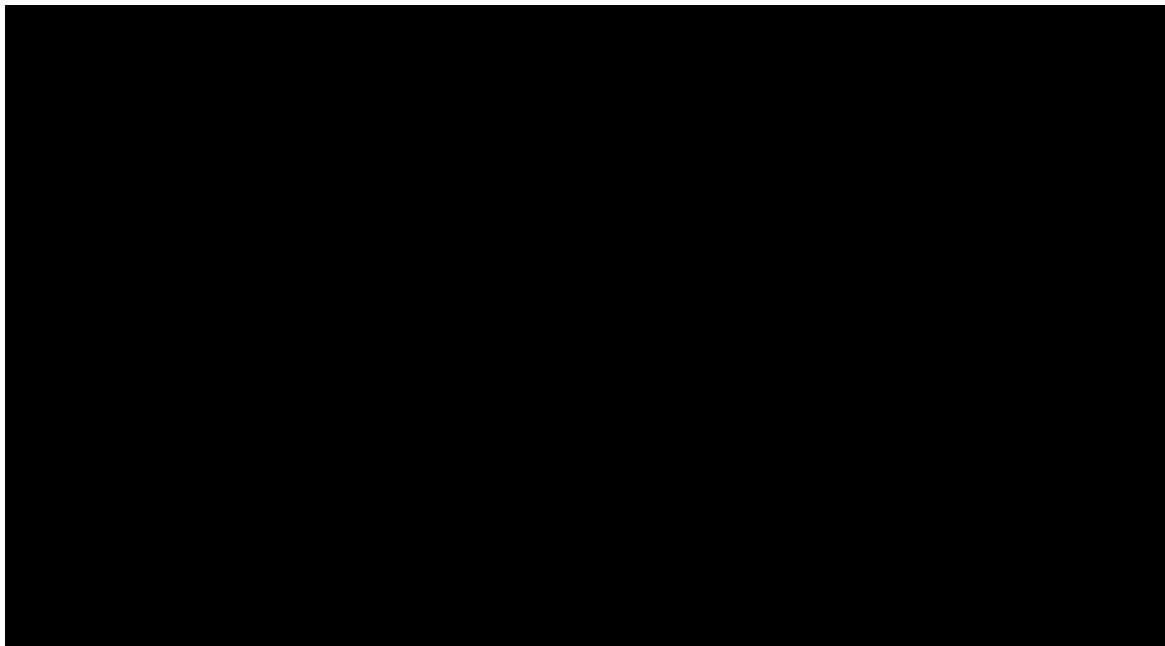


#### **4.19 Dishonored Checks**

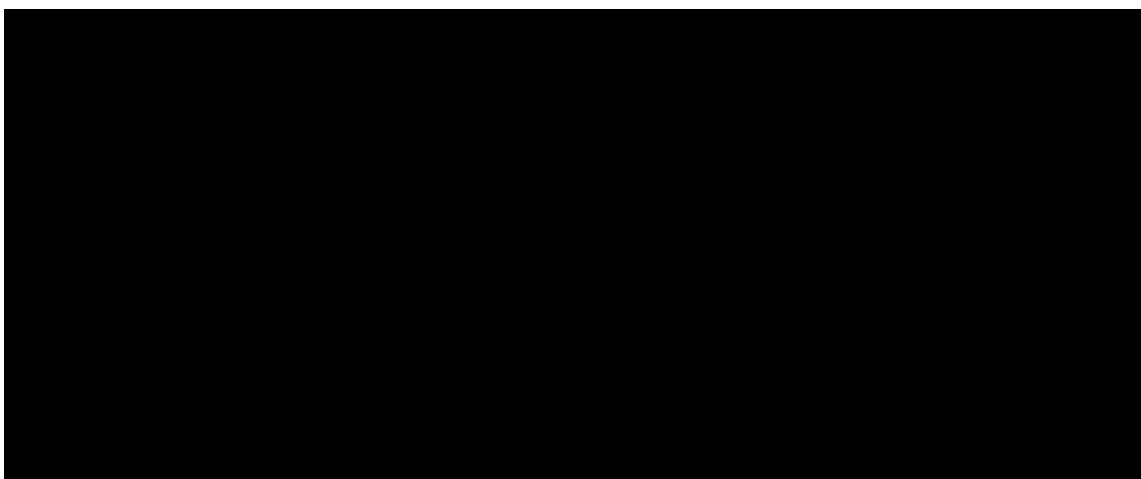


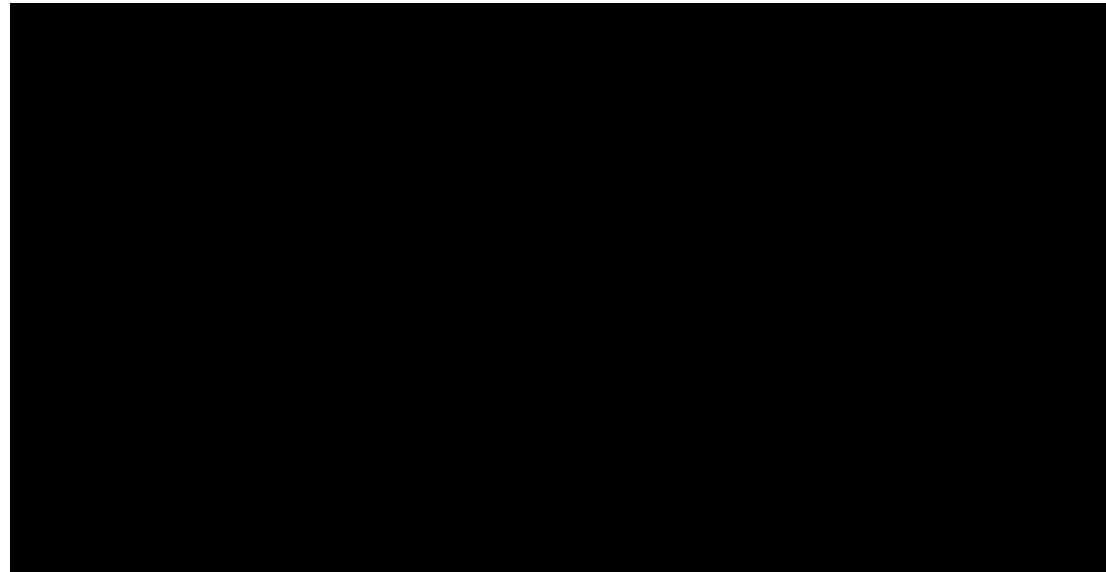


#### **4.20 Processing Declined Credit Cards on New or Renewal Applications**



#### **4.21 Reversal of Payment Control Number**





#### **4.22 Letter of Authorization (LOA)**





#### **4.23 Processing Arrest/Convictions on New Applicants**

When the background check uncovers any arrest(s) or conviction(s), they must be resolved to determine whether they are disabling. Each arrest, with a possibility of being disabling must be researched and tracked to the final disposition.

- A. A letter should be written to the Applicant/Licensee to request that they provide Court Documentation reflecting the final disposition on arrest charges. If documentation is received, the examiner should verify with the respective court that the documents are valid. If the charge is possible domestic violence and information is needed to determine the relationship to the victim send the MCDV Relationship Letter. See Exhibit 30.
- B. If the Applicant/Licensee notifies ATF that they are unable to obtain disposition, the Examiner should contact the Arresting Agency or Court by letter or telephone.
- C. If the Court states that no record is available, the Examiner should:

1. Obtain a statement on letterhead from the Court that no record is available for the listed arrest and that they have performed a search of their records and find no arrest of the Applicant/Licensee during the covered period,

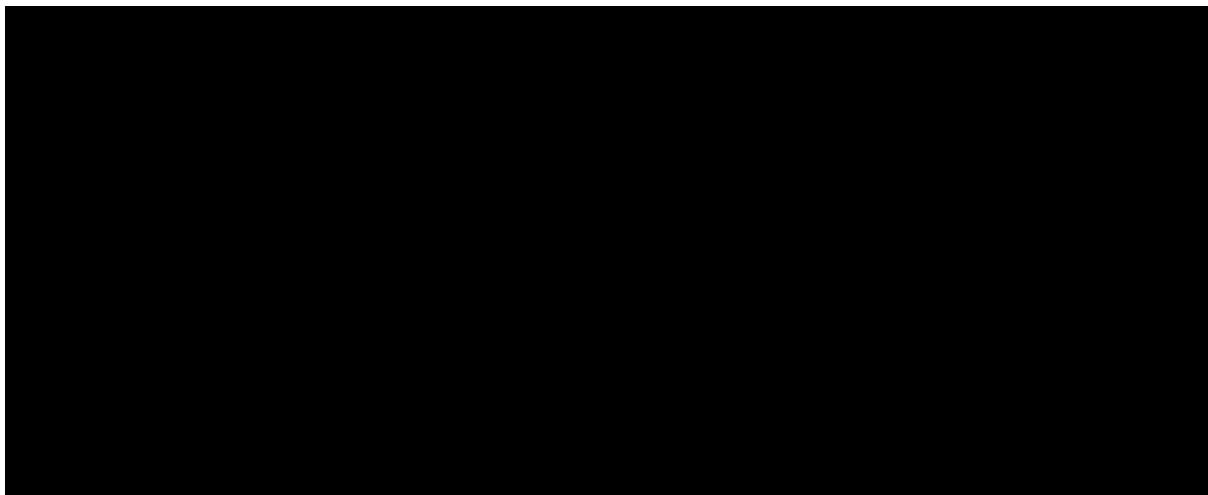
-or-

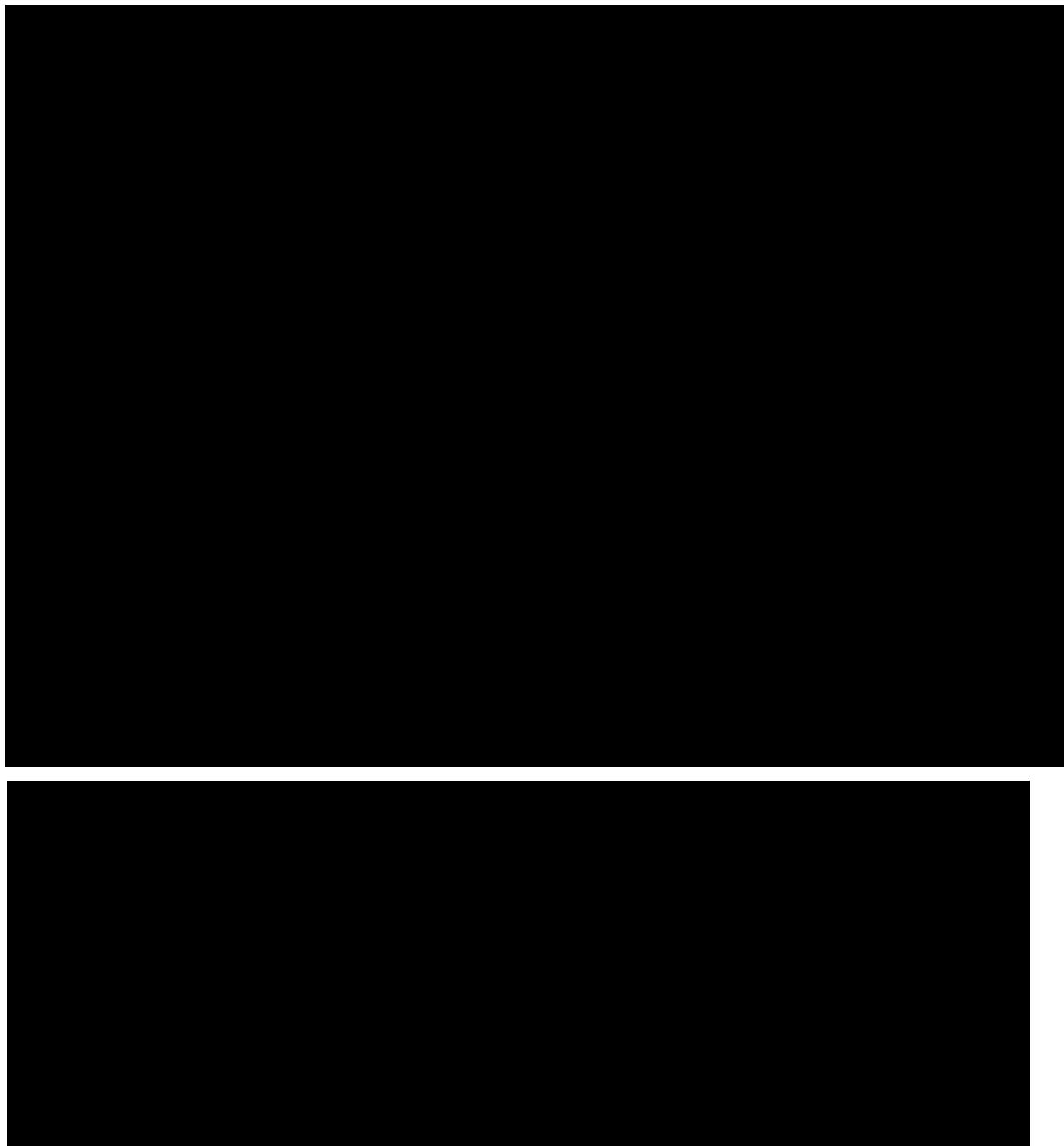
2. The conversation should be documented containing the person's name and telephone number of the person that the Examiner spoke with, what the person advised, and the date the conversation took place. If prohibited, documents containing the section, statute and number of conviction(s) are needed.

- D. If contact with the Arresting Agency or Court proves unsuccessful, a request for assistance from the Area Office in the arrest location should be forwarded to that office (See Exhibit 7).
- E. If the Examiner is in training, let the Supervisor review all documentation received to determine if the disposition is questionable or whether the arrest is prohibiting.
- F. If assistance is needed to determine whether or not a conviction is disabling, the Examiner will prepare a Background Check Review Team - Checklist for the Supervisor's review. The Supervisor will review all supporting documentation from the Examiner and make the determination based on review of the documentation. Refer to Background SOP Chapter 9. See Exhibit 20.

**Note:** When the final disposition documentation is received, enter the following information in the FLS comment section to leave an audit trail:  
Charge, date of arrest, date resolved, and documentation received.

#### **4.24 Processing Arrest/Convictions on Renewal Applicants**





#### **4.25 Indicators of Change in Control or Ownership**

**IMPORTANT:** If you receive a license application that contains any of the information listed below, please bring it to your Supervisor's attention. Counsel may need to review the application and determine whether a change in control or ownership has taken place. This must be done before a license can be issued or renewed.

Do not act on an applicant's verbal request. The licensee's request for Change in Control must be in writing to determine if it is an actual Change in Control vs. a Change in Ownership. The Examiner may request a copy of the applicant's "Articles of Incorporation" (sometimes also referred to as the Certificate of

Incorporation or the Corporate Charter) for review by the Supervisor or Counsel. The applicant may state it is only a name change and might not understand that a change of control or ownership has taken place. Below is a list of items that **could** indicate a change of control or ownership. This list does not include every indicator and is only a guideline. Let your Supervisor know if any of the following have occurred:

- A. Change of responsible person(s) – may indicate a change in control
- B. Change of any corporate officer(s). For example, new President, Vice president or Secretary, etc. – may indicate a change in control
- C. Change to board of director(s) – may indicate a change in control
- D. Change of EIN – may indicate a change in ownership
- E. Any change of stock ownership -- may indicate a change in control
- F. Merger – may indicate a change in ownership
- G. Anything indicating a sale – may indicate a change in ownership
- H. Any mention of Bankruptcy – may indicate change in ownership
- I. Any mention of a Trust – may indicate a change in ownership

#### **4.26 Change in Control**

When an actual or legal control of a corporation or association changes, the licensee shall, within 30 days of such change give written notification to the FFLC. Upon notification of Change in Control, the Special Attention Flag (SAF) of “02 – CHANGE IN CONTROL – RENEW AFTER RP INFO CLEARED” should be added to the FLS record. Renewal fee and renewal application are required upon expiration. However, to accompany the renewal, an updated application document will be requested when there is a change to Responsible Persons (at least until we have an approved Responsible Person Questionnaire Form) or to verify information (i.e. hours of operation.) An updated application must be on Form 7 when specifically requested by the field office or FFLC personnel. This will require the applicant to submit all changes under the penalties of perjury and could subject the application to denial on the grounds of falsification in the event the applicant deliberately fails to disclose material information on the Form 7. A new FLS record will not be created. See Exhibits 27 and 40.

- A. The request should be reviewed to determine if the request qualifies as a Change in Control or as a Change in Ownership. Example: if the original entity still exists during the change, it is a Change of Control. If the original entity is dissolved during the change, it is most likely a Change

in Ownership. Seek the advice of your supervisor if you are unsure. If the requested qualifies as a Change in Control, add SAF as indicated in the above paragraph.

Note: The SAF Code must be removed in order to issue the license.

- B. For a Change in Control, Responsible Persons should be added or deactivated on the Responsible Person screen in FLS. The criminal background is initiated automatically in FLS (Refer to Section 3.2.3).

Note: If there are changes in Responsible Persons, the request must come from a current RP. If there are no changes to the RPs, please obtain this information in writing.

- C. If the Responsible Persons have an arrest or conviction, proceed as outlined in Section 4.23
- D. When all Responsible Persons are cleared, print a target sheet and send file to Imaging.

#### **4.27 Change in Ownership<sup>6</sup>**

Federal Firearms Licenses are not transferable. In the event of a lease, sale, or other transfer of the operations authorized by the license, the new owner must obtain the required license prior to commencing operations (Refer to Section 2.2 and 2.3). Refer to Section 4.43.2 for guidance on deactivation of the old license.

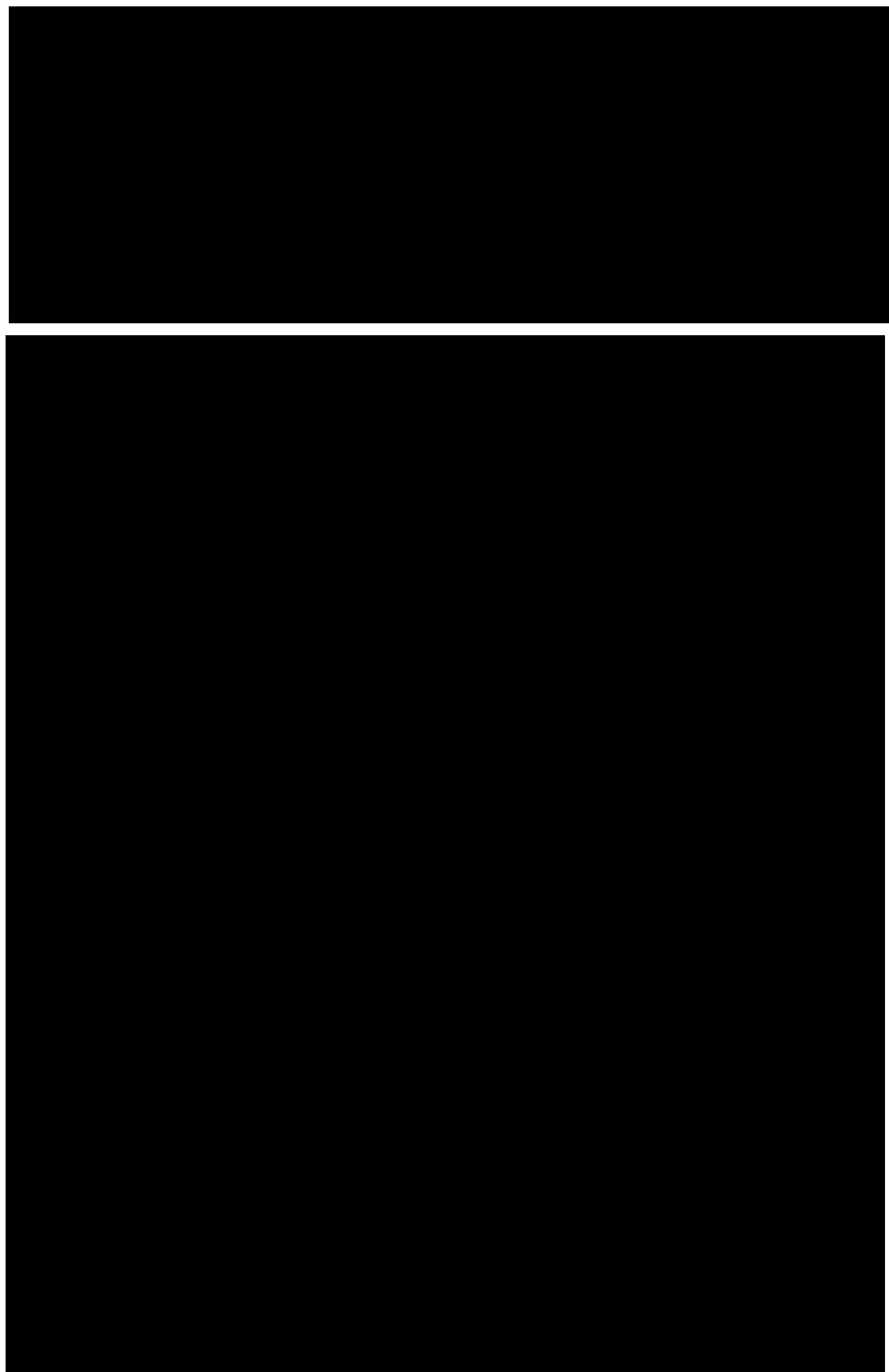
Some states allow a conversion between Corporation to LLC without the need to obtain a new EIN#. Although this change in business structure results in a name change, there is no need for the business to apply for a new license if the state in which the company is incorporated allows this conversion.

The States known to allow conversions are Alabama, Arizona, Arkansas, California, Delaware, Florida, Georgia, Hawaii, Idaho, Iowa, Kansas, Kentucky, Louisiana, Minnesota, Nebraska, New Hampshire, New Mexico, North Carolina, North Dakota, Oklahoma, Oregon, Rhode Island, South Carolina, Tennessee, Texas, Virginia and West Virginia. See Exhibit 41.

#### **4.28 Change in Business Structure**

Licensees often request a change from one business type to another (Partnership to Corporation, Individually Owned to Limited Liability Company (LLC,) etc.) These types of changes are considered a “Change in Ownership” and the rule in Section 4.27 applies. Exercise caution and seek guidance from a Supervisor or A/O Counsel.

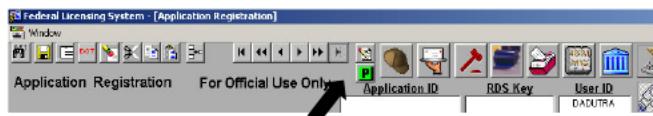
#### **4.29 Right of Succession<sup>7</sup>**



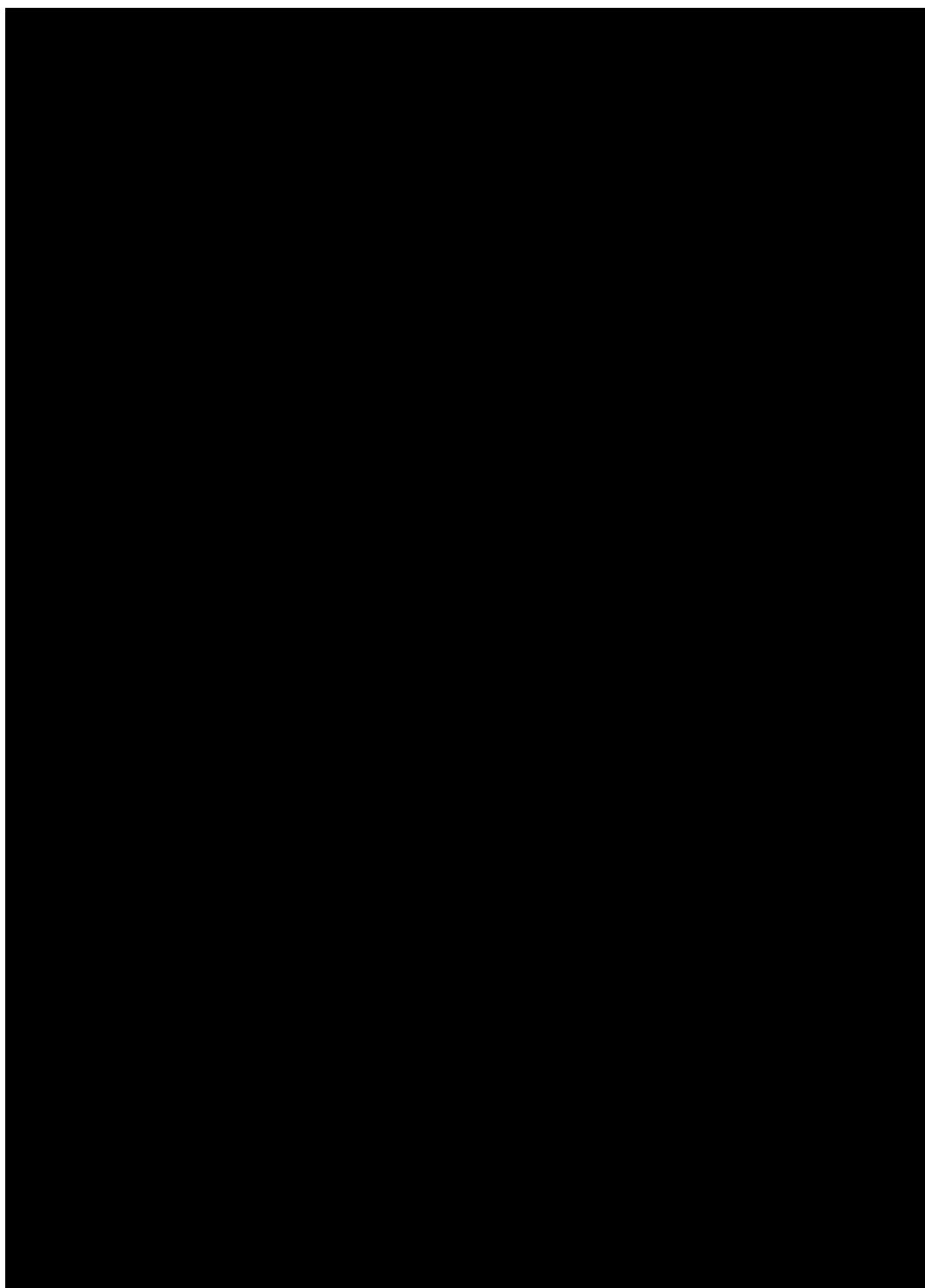
#### **4.30 Change in License Types for New Licenses and Renewals**

A dealer and pawnbroker are allowed to change to a different license type, within the same type category, without paying an additional fee. The licensee or an ATF field office should submit a written request for this type of change. For all other changes, a new application and fee are required.

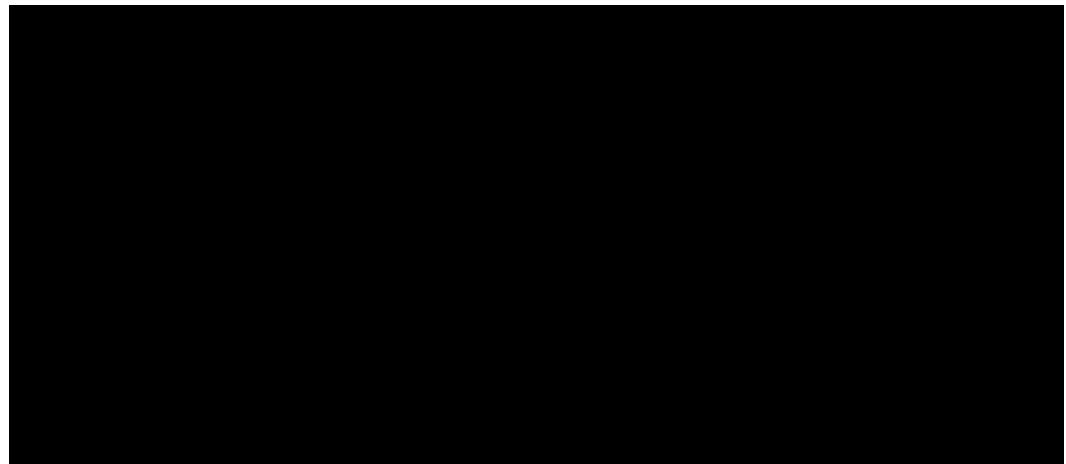
**The following is the process to make the change in license type for new license applications which are not yet issued:**

1. The license type on new applications can change from that which was originally requested to any other type prior to the issuance of the license. This request is usually made through the PII and the inspection report.
2. Open current license in FLS. Use the “Print Screen” icon.  

3. Create a new license by selecting the proper type of FFL and using the information contained in your print screen.
4. Reverse the money from the incorrect type/record and apply it to the correct type/record.
5. Change disposition on new license to license issued and save.
6. Update FLS using the disposition of “Withdrawn” for the incorrect type/record.
7. Make comments in both FFLs to reflect what has transpired.
8. If more money is needed for the new FFL, obtain the additional funds and apply the control number once the bank has cashed the check or processed the credit card.
9. If less money is needed, the remainder should be refunded to the applicant as an overpayment under the new FFL number.
10. Defer print a license.

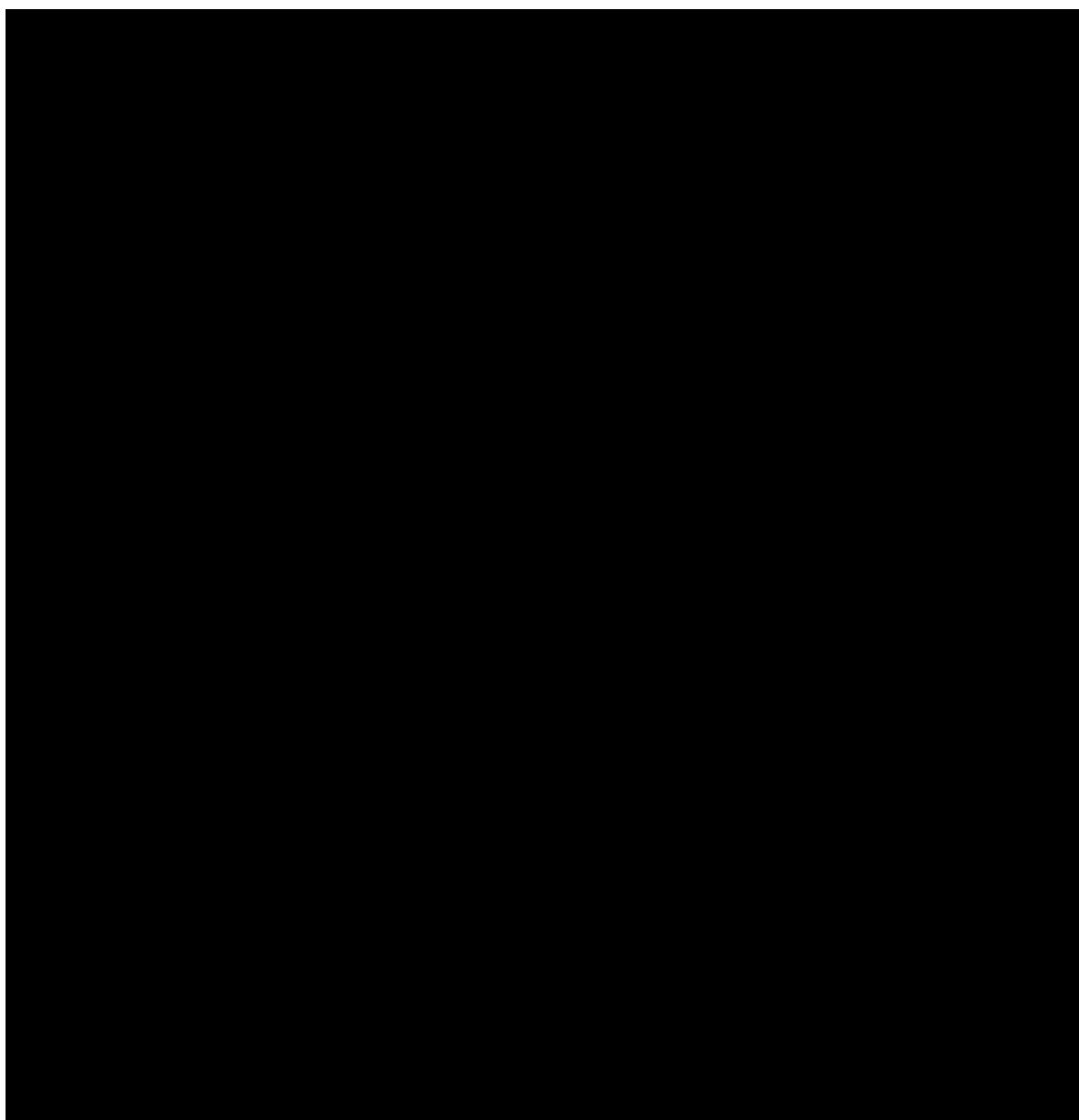
**The following is the process to make the change in license type when renewal applications are filed or when the license is in the middle of a license period (3 years.)**

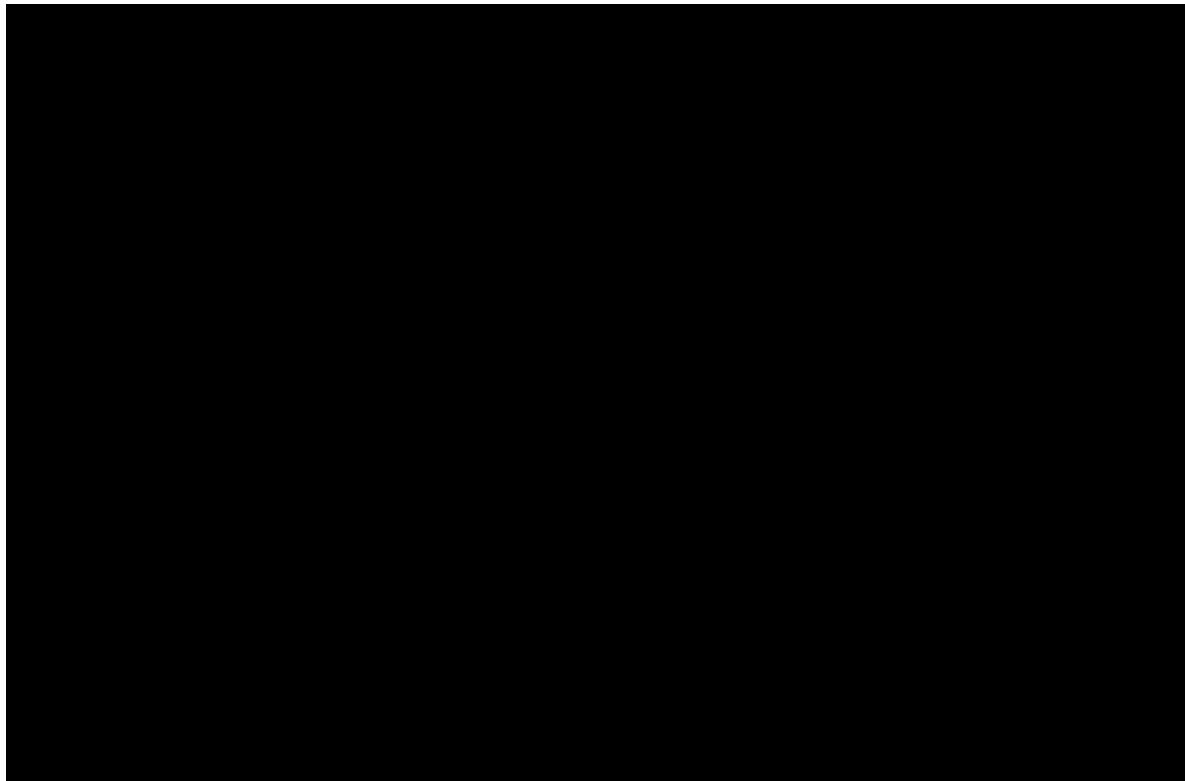


#### **4.31 Power of Attorney (POA)**



#### 4.32 Imaging





#### **4.33 Entering Comments in FLS**

Comments were designed as a mechanism to enable the FLS user to gain a clearer understanding of the license's history and activity. Comments are entered to show the action taken on an application in order to leave an audit trail for other users. Comments should be a summation of the main points. Only pertinent information should be included in the comments.

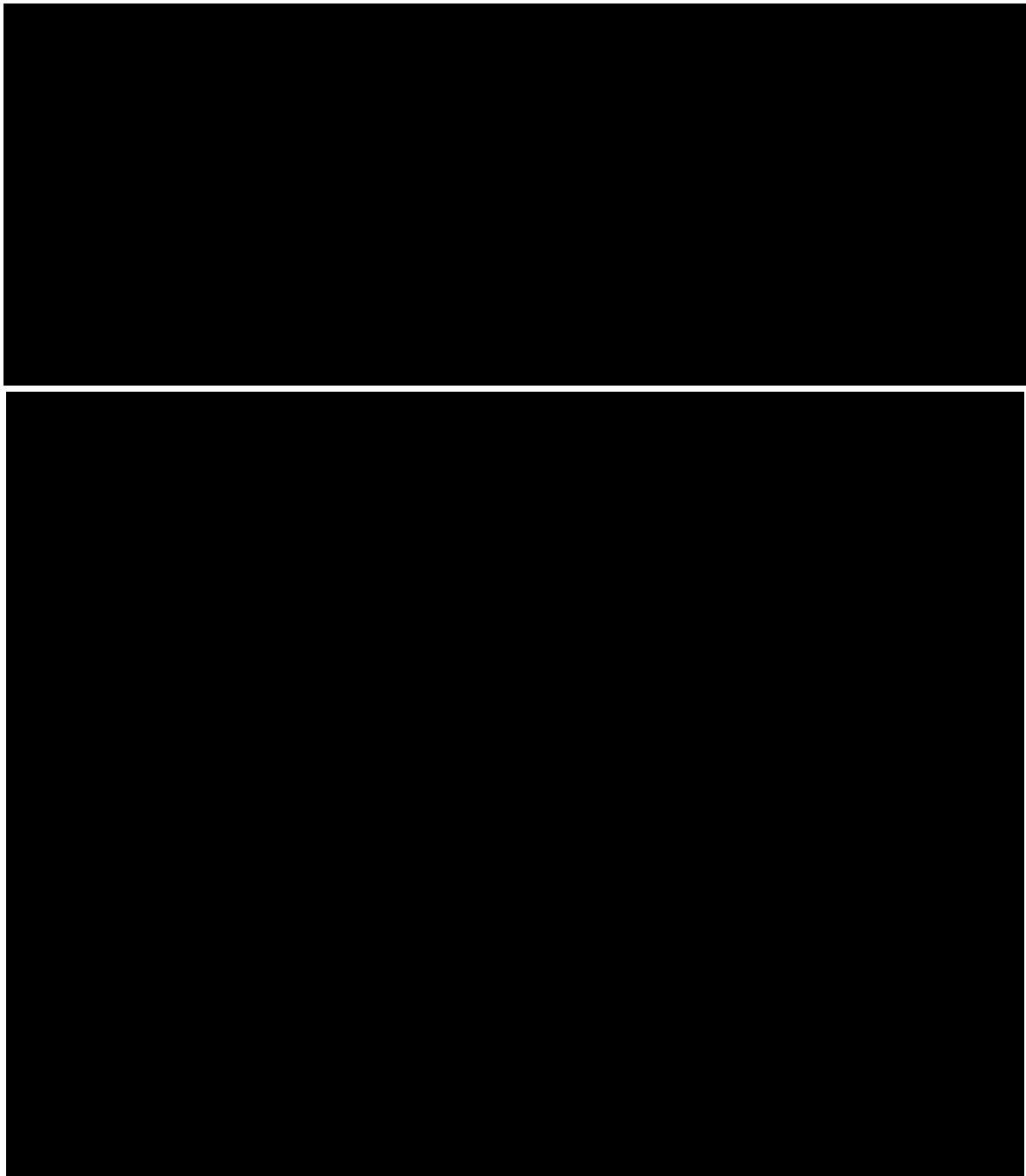
If the user feels it is necessary to "cut and paste" into FLS, then the user should paste into the correspondence area and input comments directing the reader to the Outgoing Correspondence area of FLS, (e.g., "Email dated 3/6/2006 from DIO Williams pasted into Outgoing Correspondence as 'Additional 30 Days Letter').

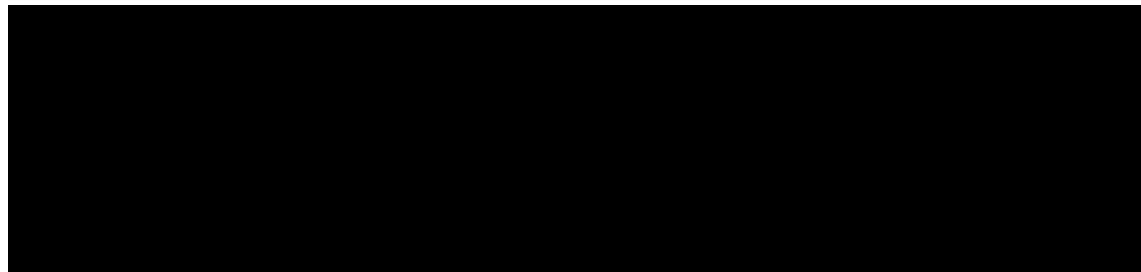
#### **4.34 Special Attention Flag (SAF)**

A Special Attention Flag (SAF) is used to alert FLS users of current adverse actions concerning a licensee or applicant. FFLC Examiners will process all requests for adding a SAF codes for the States/districts for which they are assigned. This does NOT apply to the '*removal*' of SAF code requests. ALL SAF code removal requests – due to FLS roles – will be provided to Specialists or to Management Analysts. All requests to add or remove a SAF code should be obtained in writing/email from an Area Supervisor or higher level. The requests to add or remove a flag are delivered to the Adverse Actions Coordinator utilizing Microsoft Outlook E-Mail.

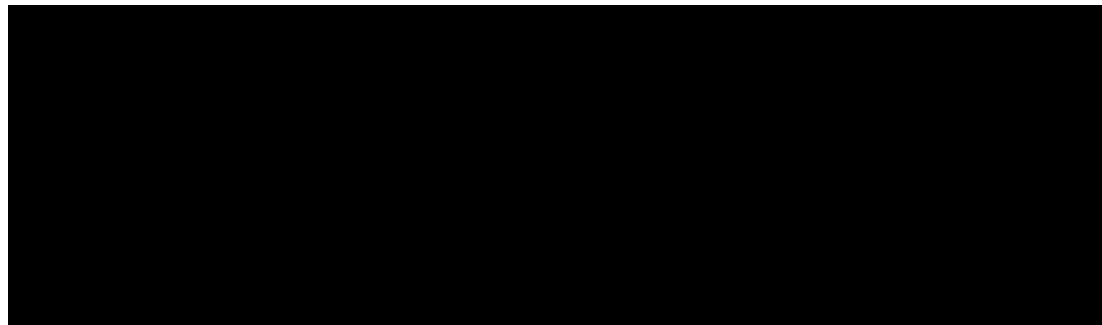
- A. The Examiner should contact the Field Division to obtain approval to issue an LOA for renewals with an SAF “LE Investigation.”
- B. The Examiner should contact the Area Office to obtain approval to issue an LOA for renewals with an SAF “Revocation/Denial.”

#### **4.35 Adding Special Attention Flag (SAF) Codes**

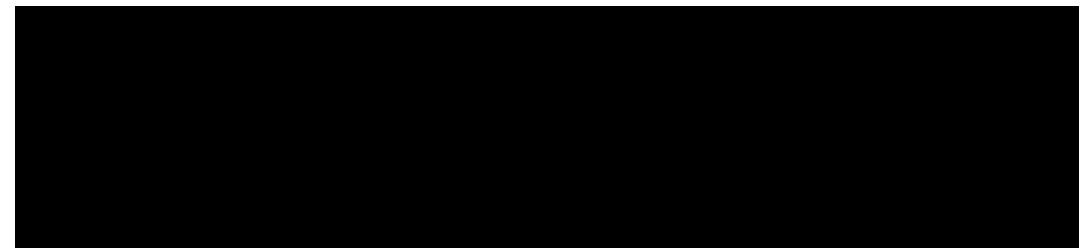
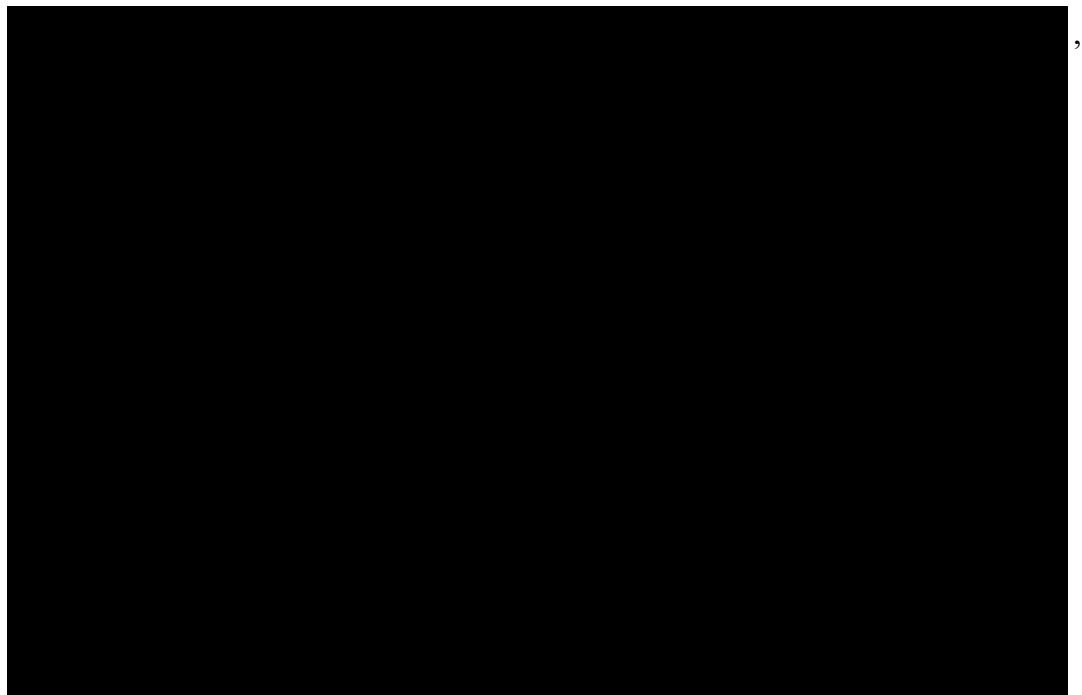


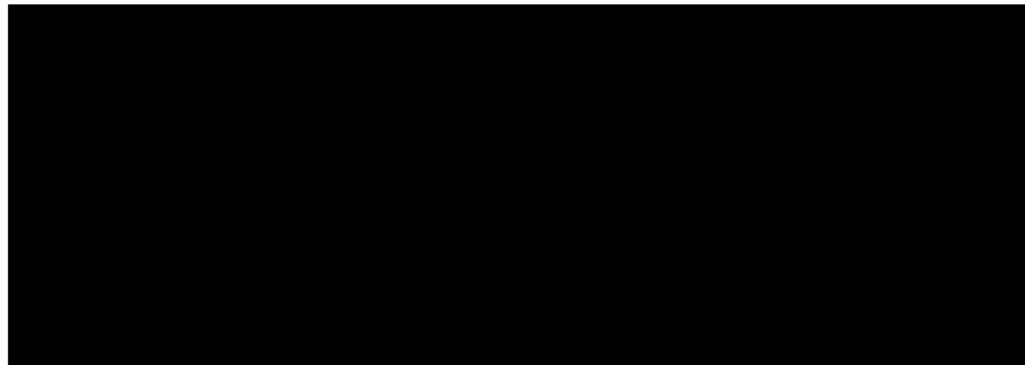


#### 4.36 Removing SAF

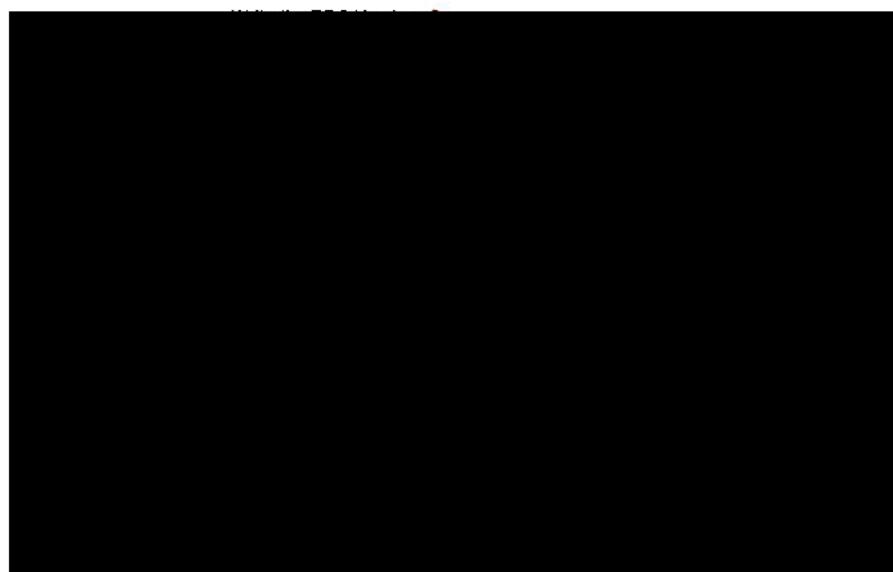
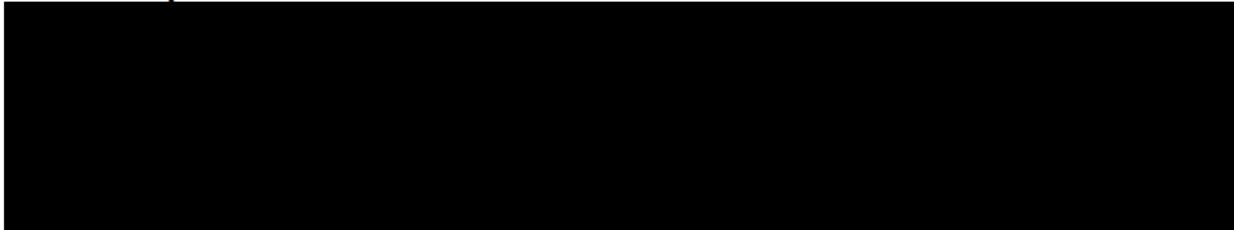


#### 4.37 Out of Business (OOB)

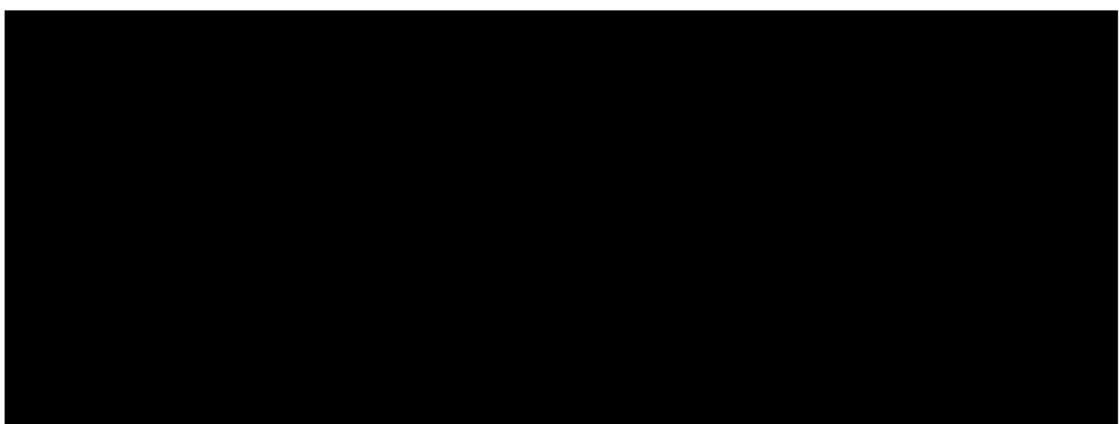


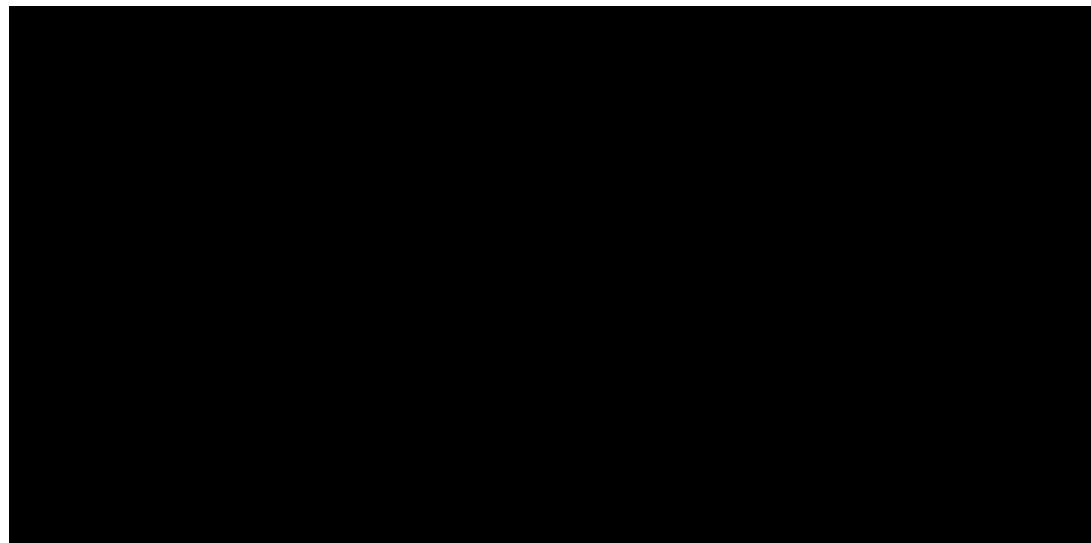


**4.38 Duplicate Renewals**

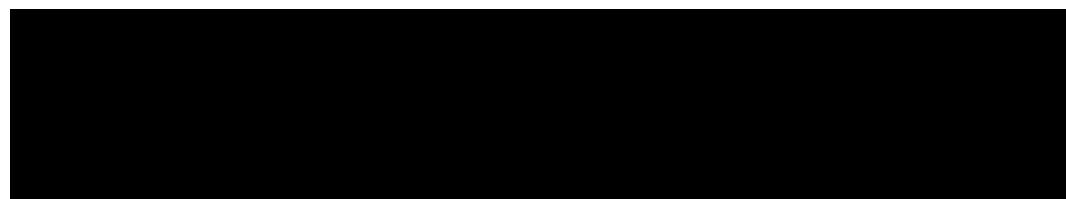
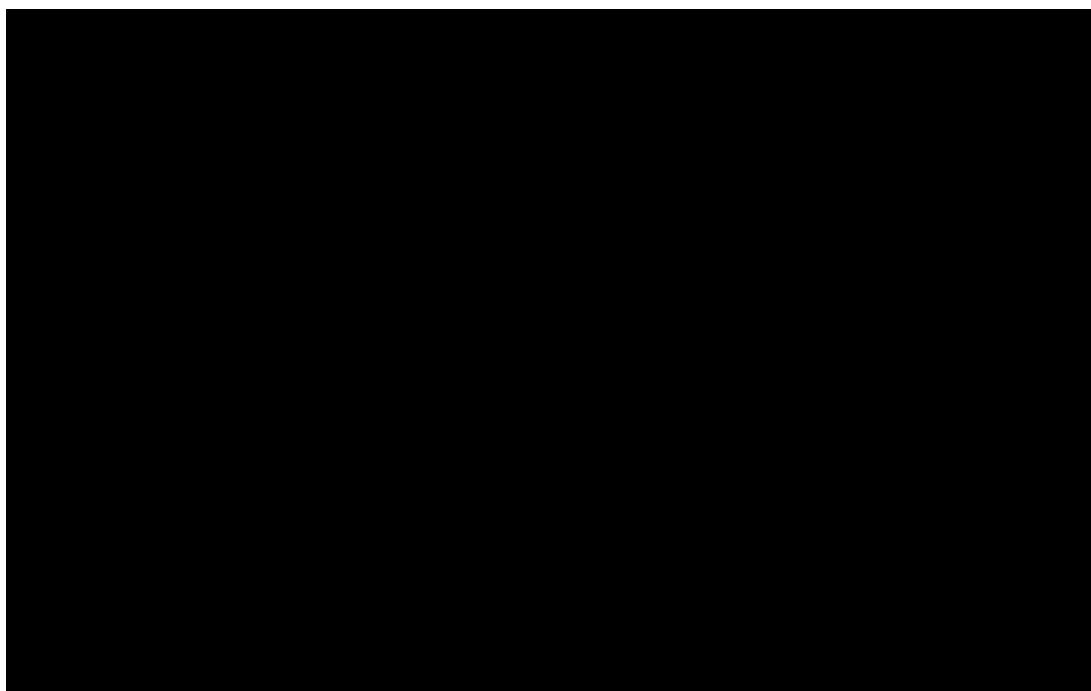


**4.39 Returned Mail**





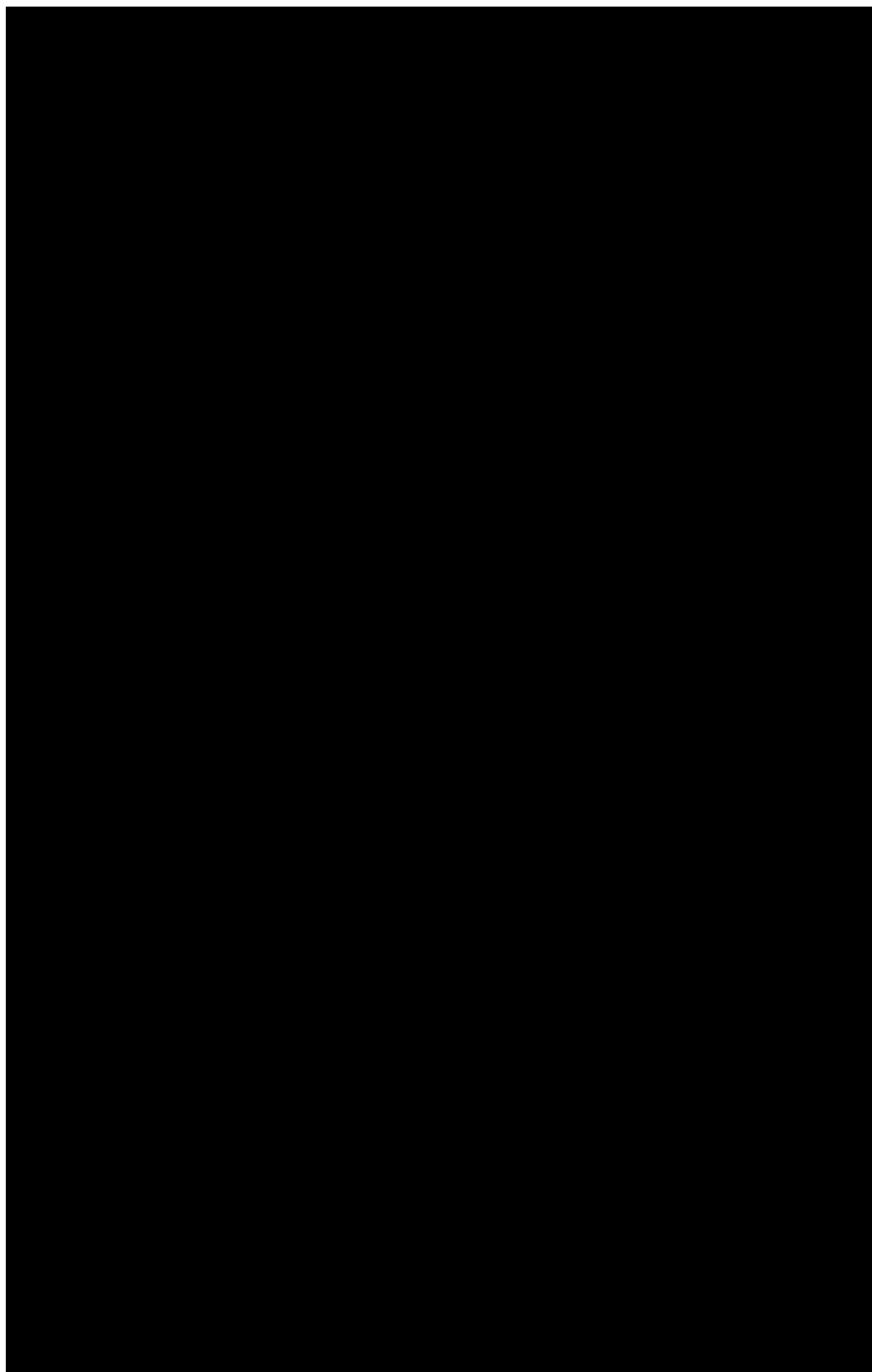
#### **4.40 Duplicate License Requests**

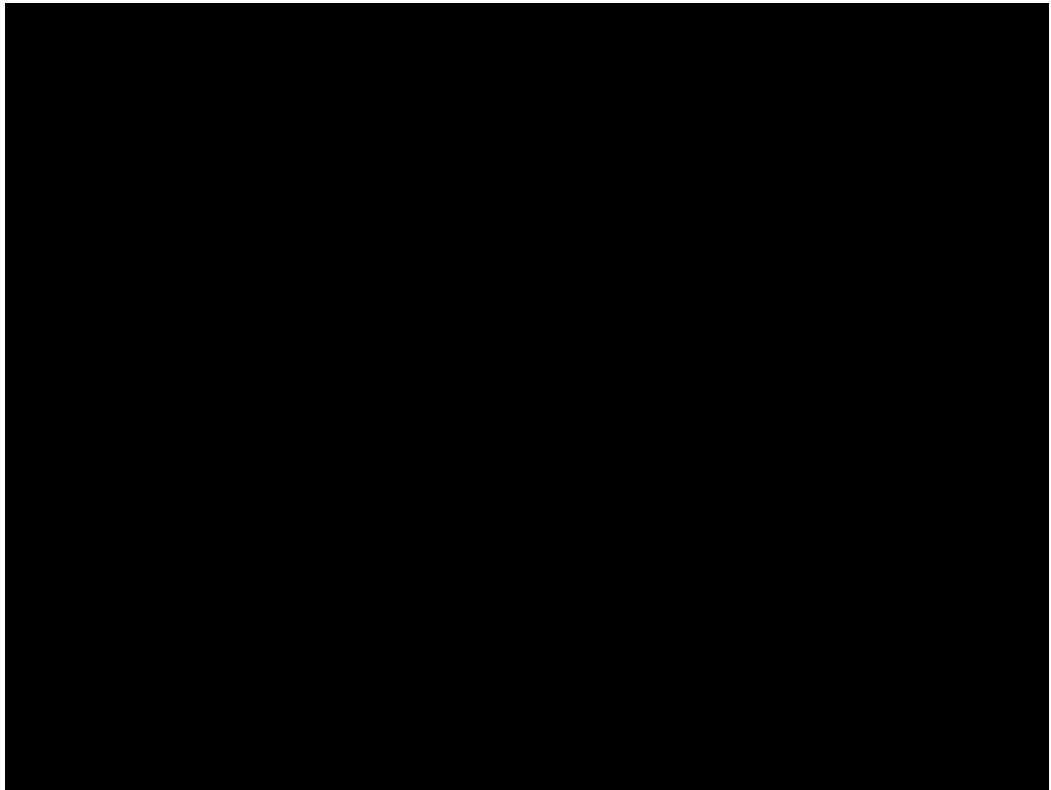


#### **4.41 Addition or Deactivation of a Responsible Person (RP)**

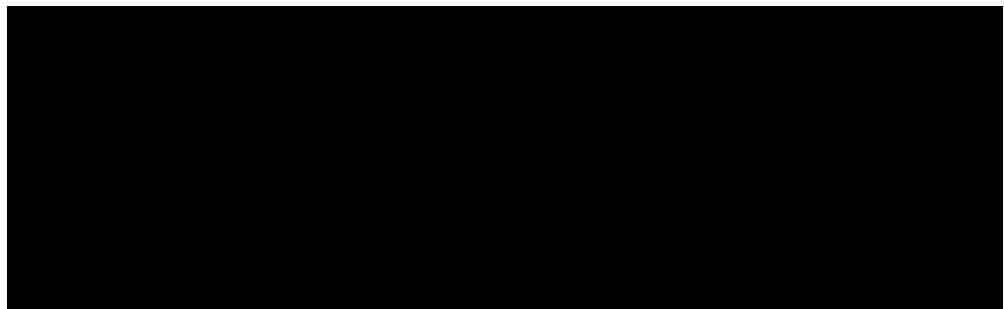
A “responsible person” is defined as an individual who has the power to direct the management and policies of the business entity for which the Federal firearms license is being applied.

#### **4.41.1 Addition of a RP**

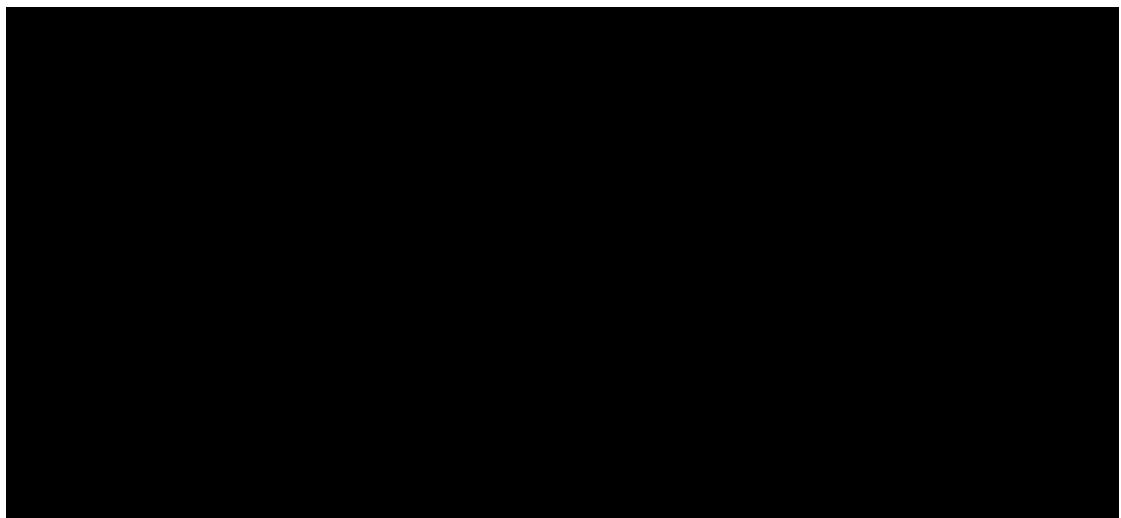


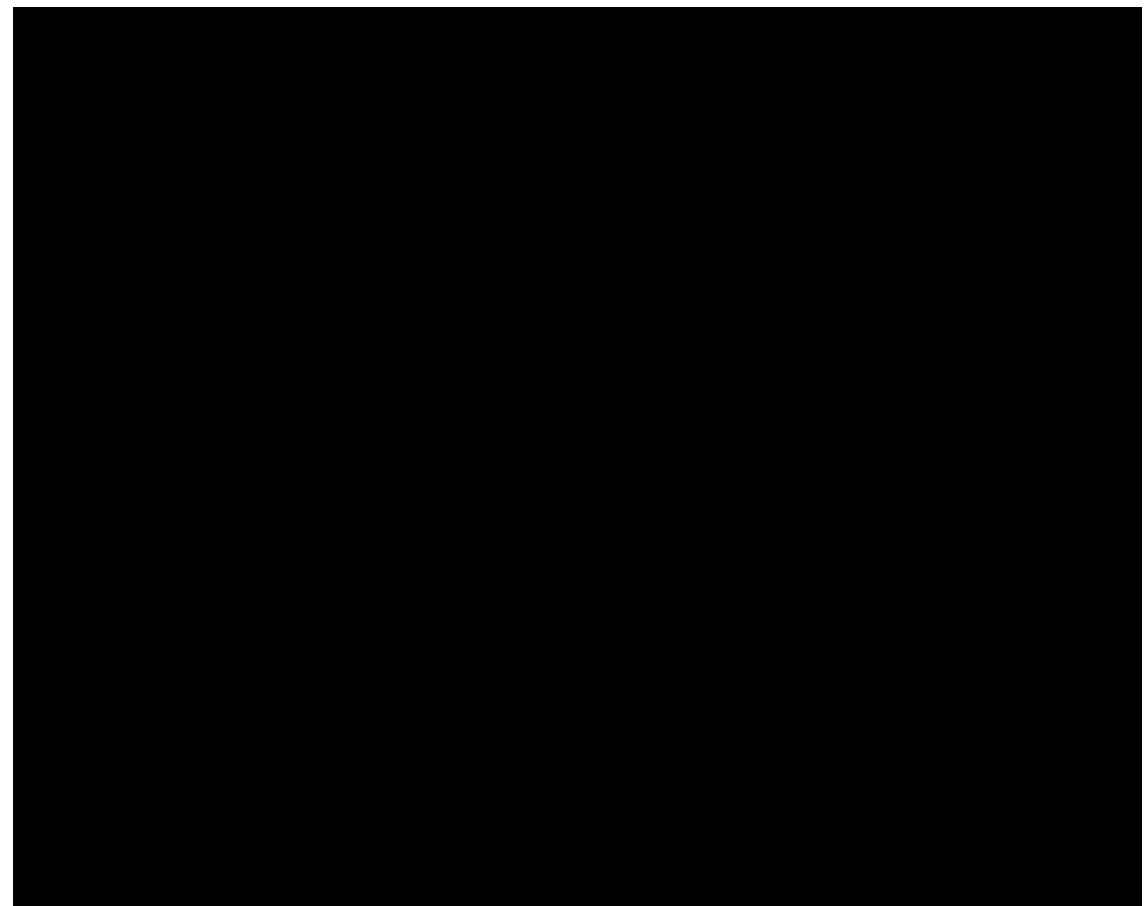


#### **4.41.2 Deactivation of an RP (not due to prohibition)**



#### **4.42 Live Checks and other Monetary Instruments**



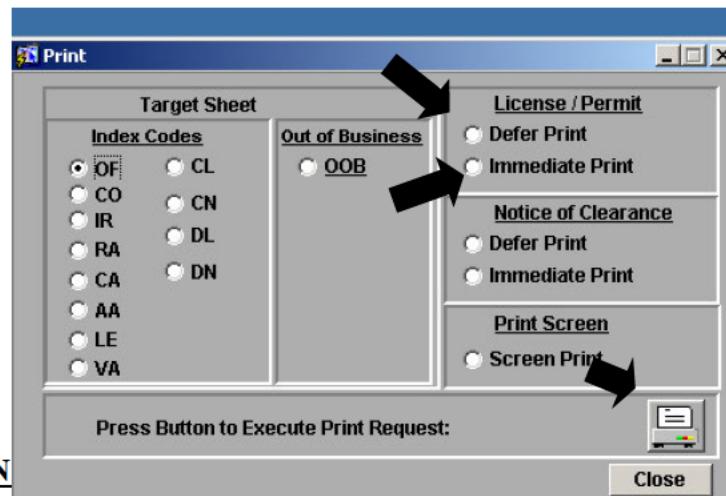


## **4.43 Issuing and Deactivating Licenses in FLS**

### **4.43.1 Issuing Licenses in FLS**

When the application has been reviewed for accuracy, completeness, background checks completed, fingerprint results cleared and has been returned from the Area Office (if applicable) the license can be issued.

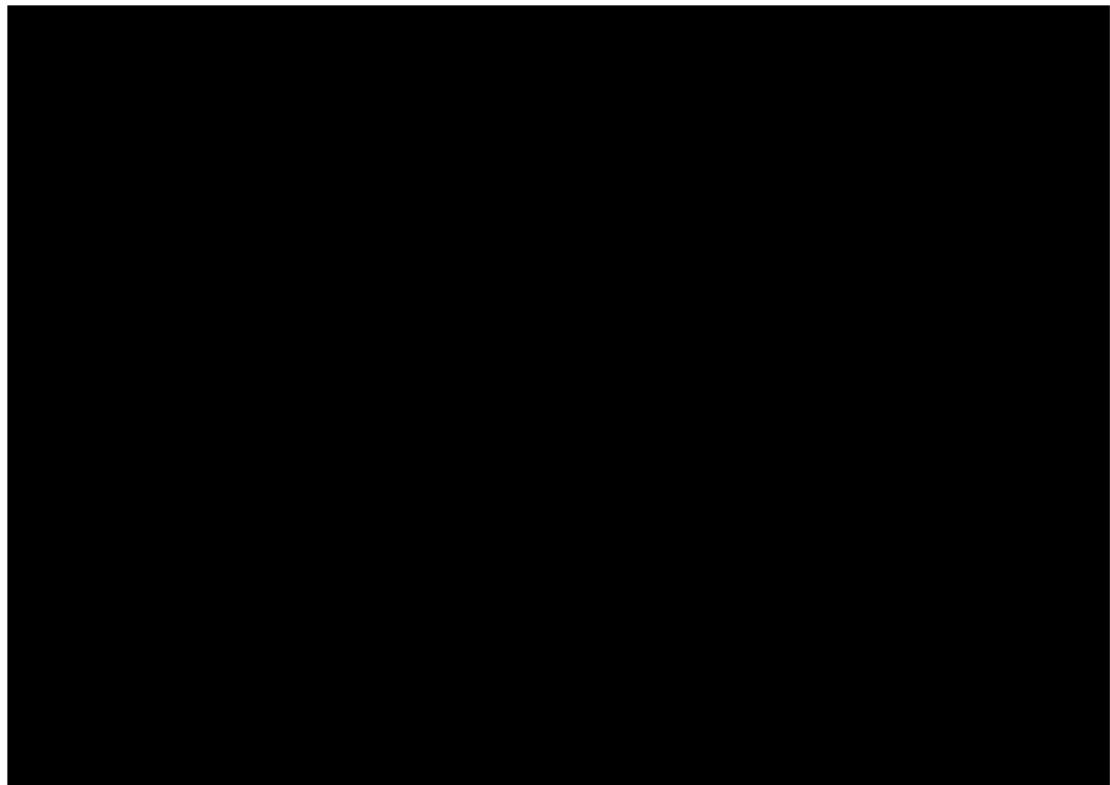
- A. Select the disposition “License Issued” on the applicant screen of FLS. Click Save. Verify that the expiration date has updated accordingly. Check approved, apply the Chief’s signature as Licensing official on the original application and write in the date the license was issued.
- B. When issuing a license under normal circumstances, select the Defer print option in the print function on the task bar of FLS. Click on the printer at the bottom right corner of the print box.
- C. If an Immediate print of a license is needed, select the immediate print option. Click on the printer at the bottom right corner of the print box. See figure 6.

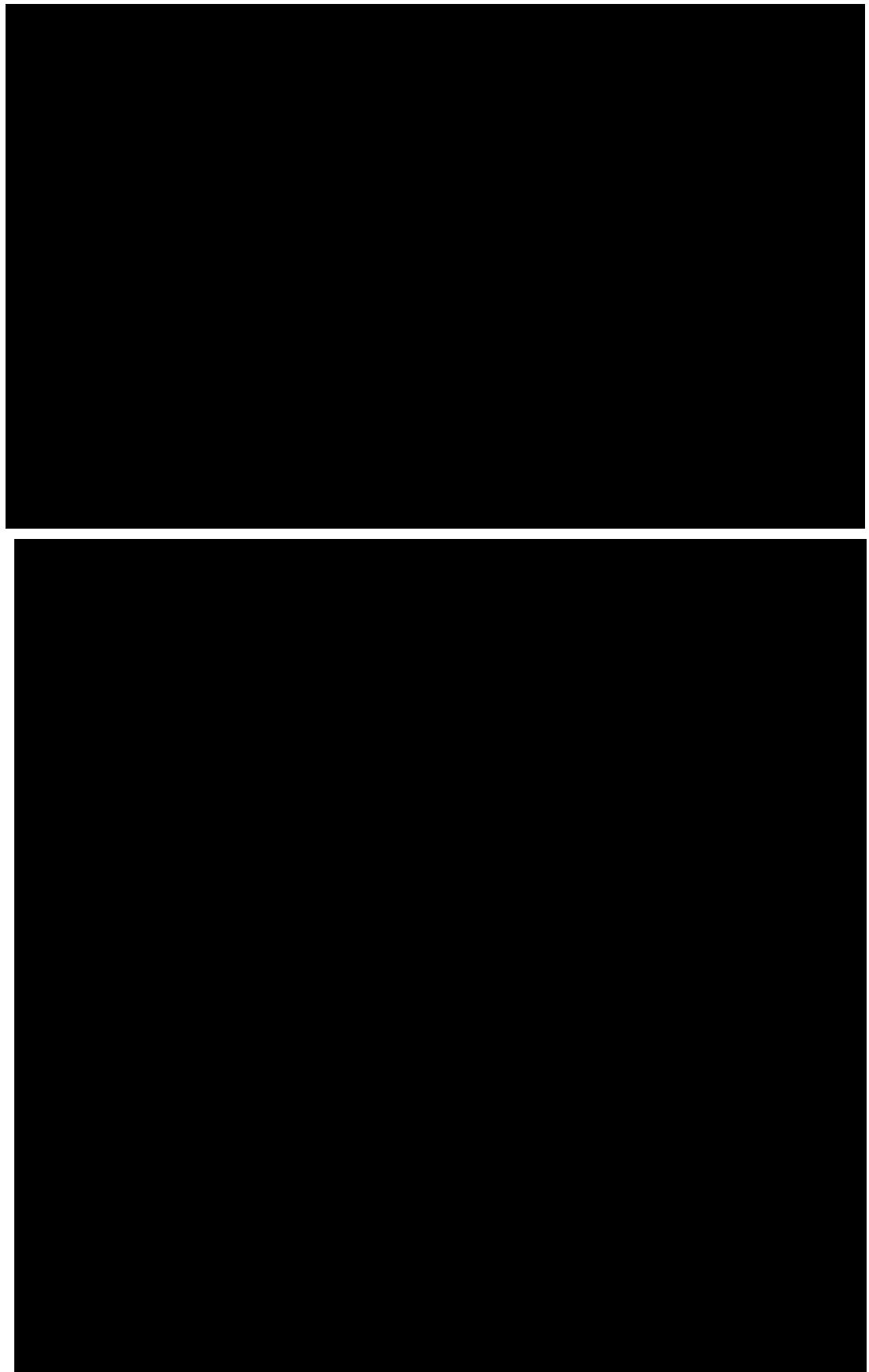


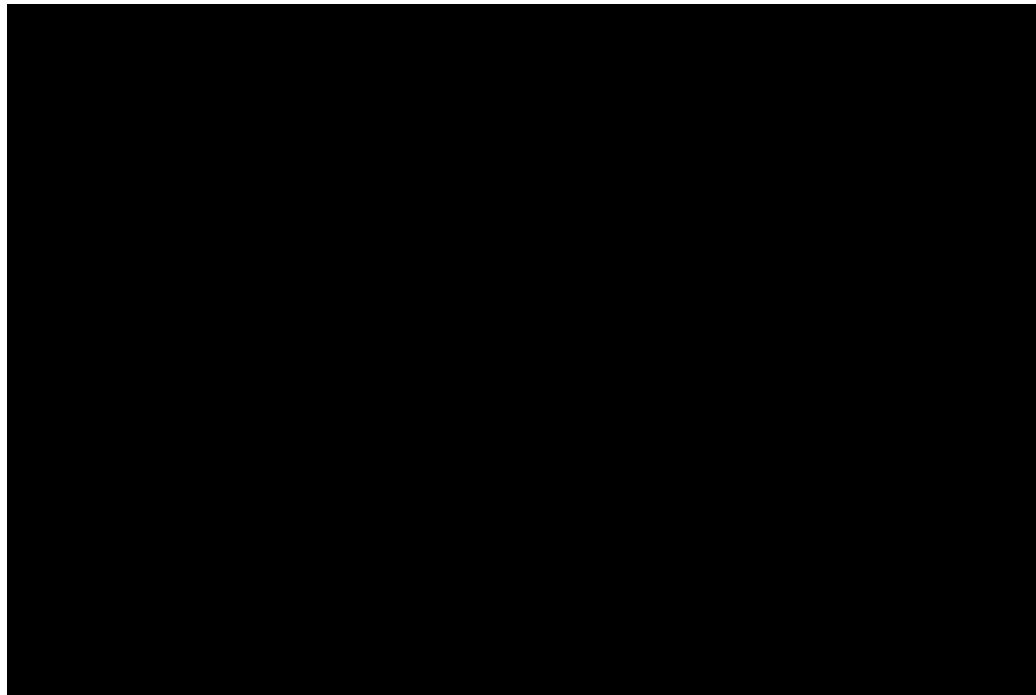
Select the next  
the license  
will print within 15-20 minutes. An email should be sent to the  
Operations Specialist with any special directions concerning the  
license.

**Note:** The Notice of Clearance section does not pertain to FFLC and  
should not be used. The Print Screen option allows the user to  
print the entire record.

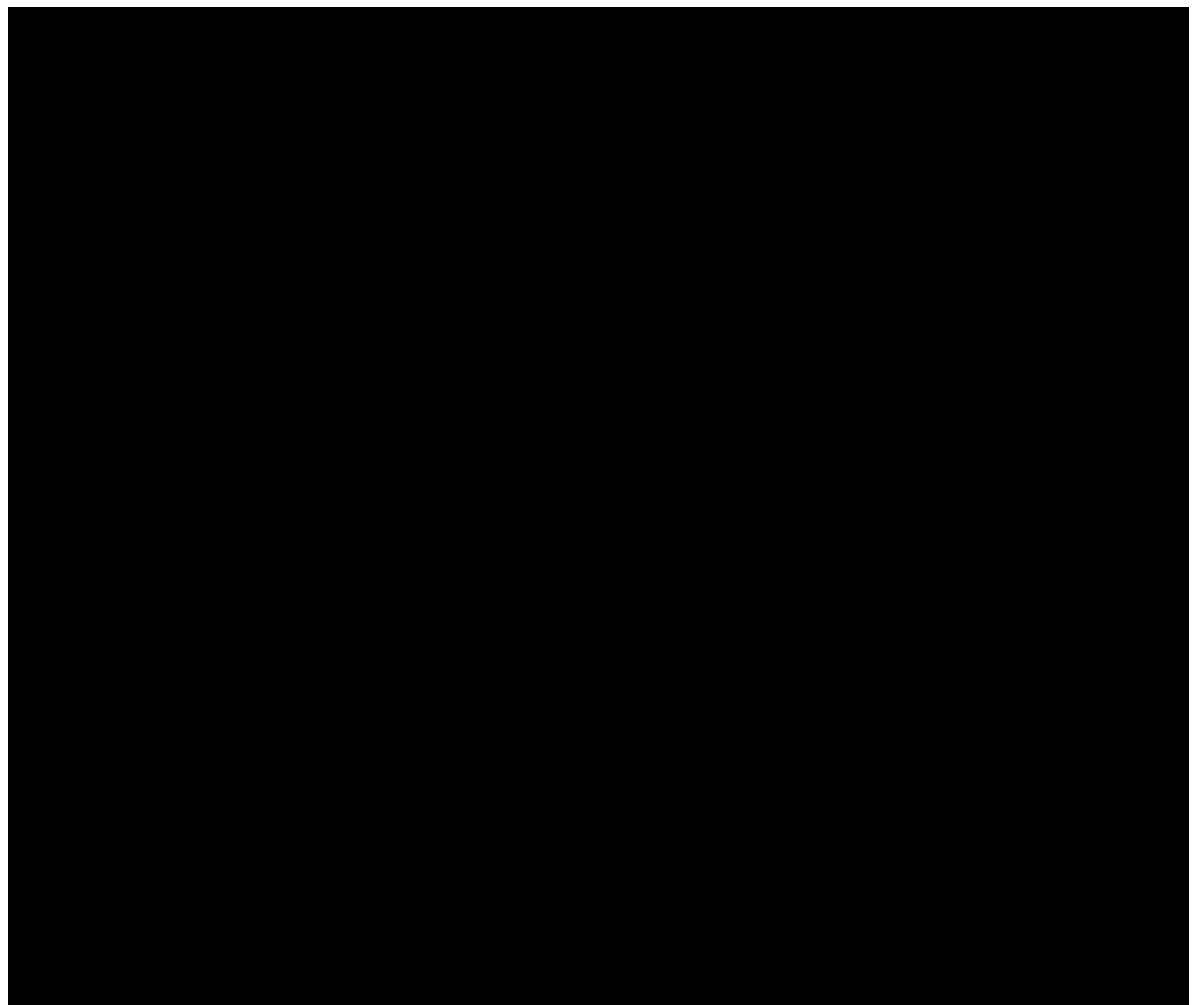
#### 4.43.2 Deactivating Licenses in FLS

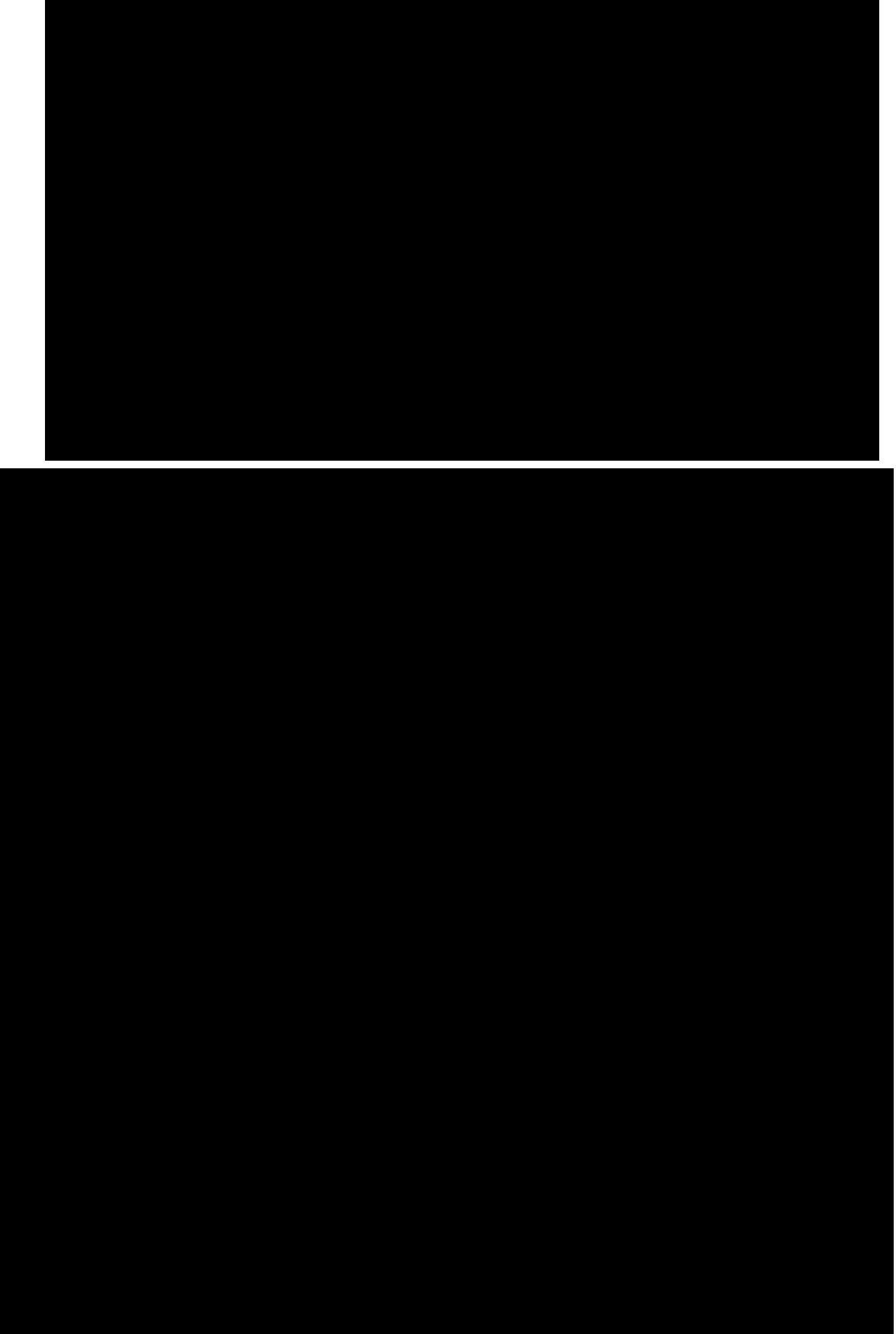


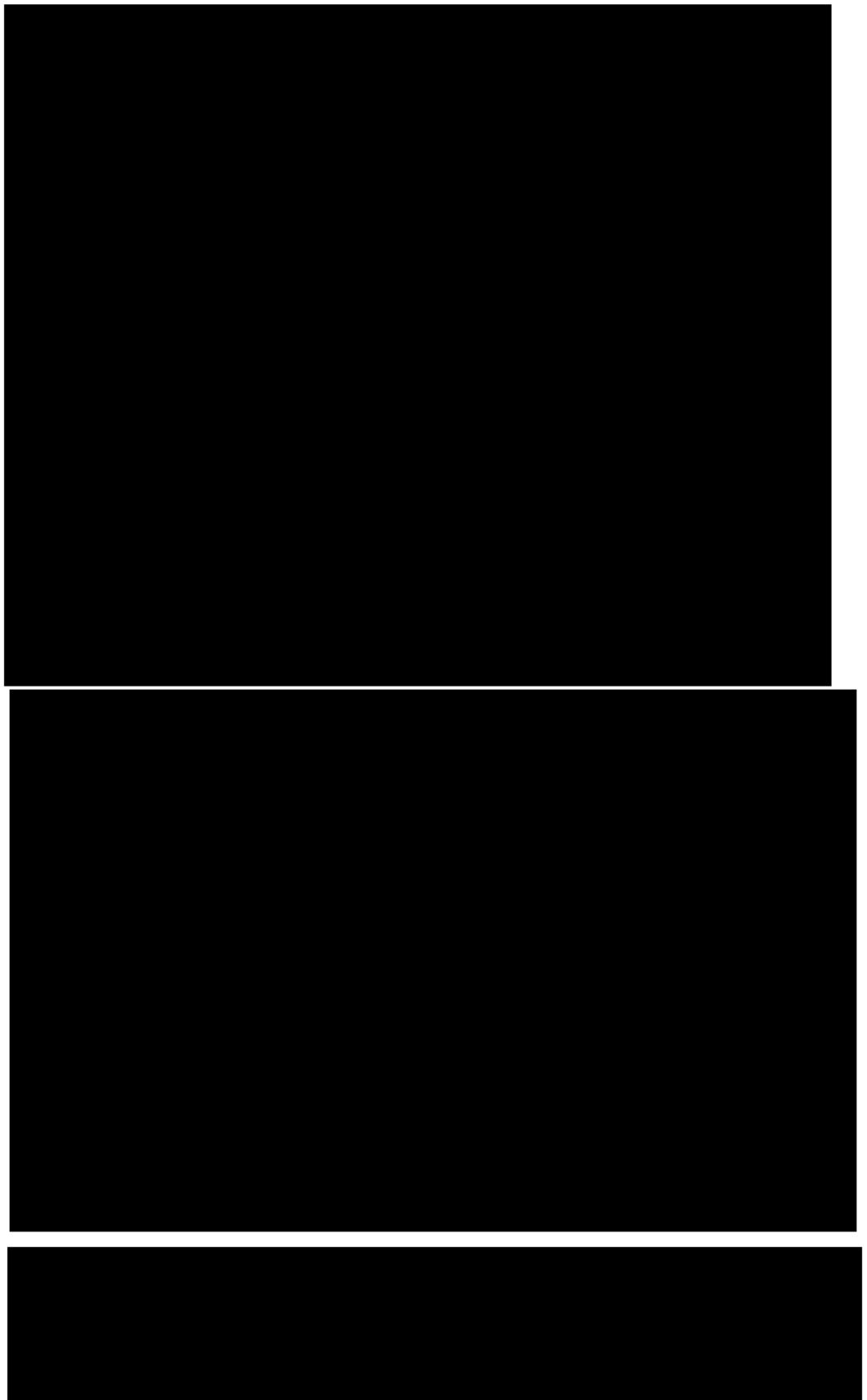


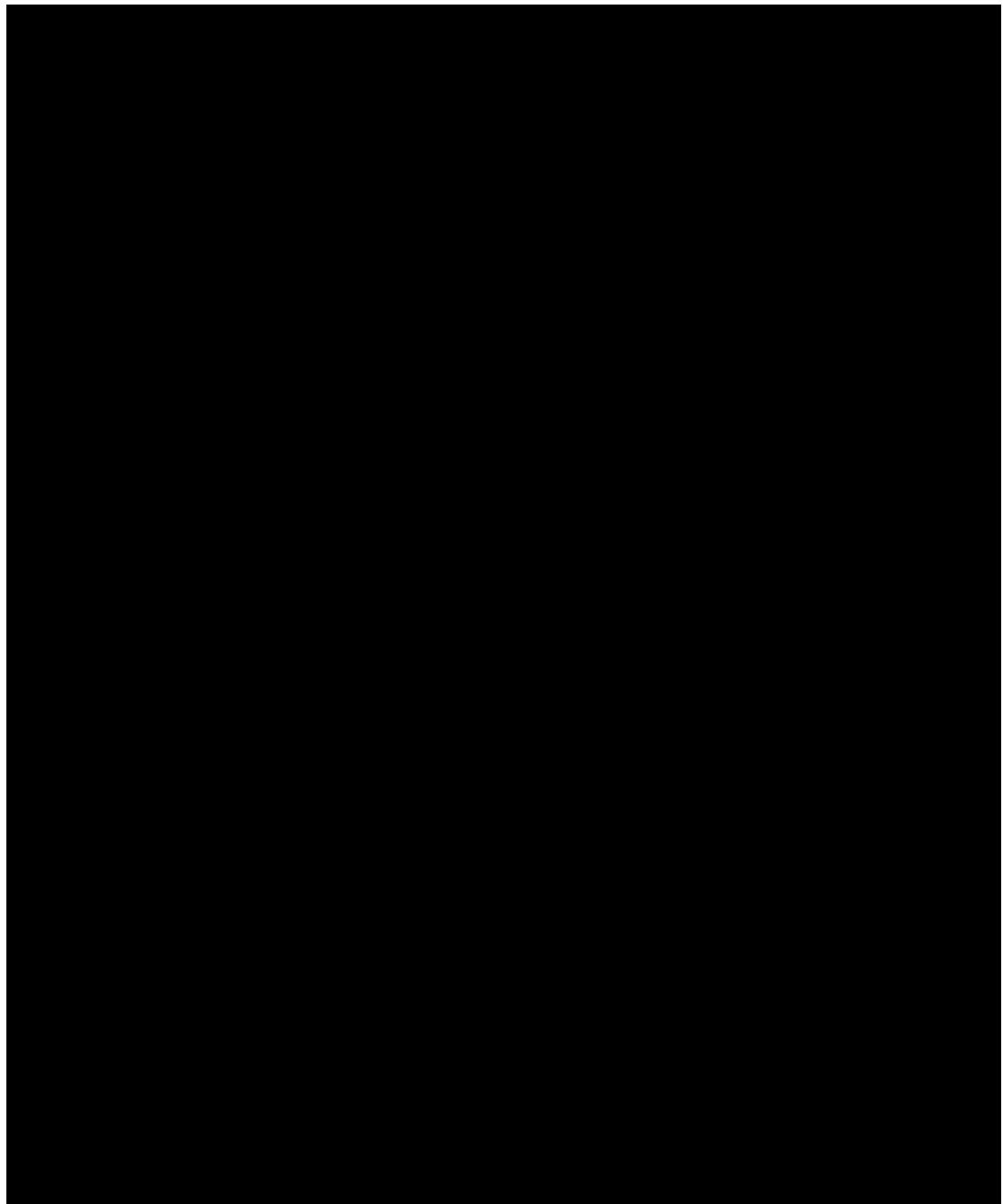


#### **4.44 Revenue Processing and Research**

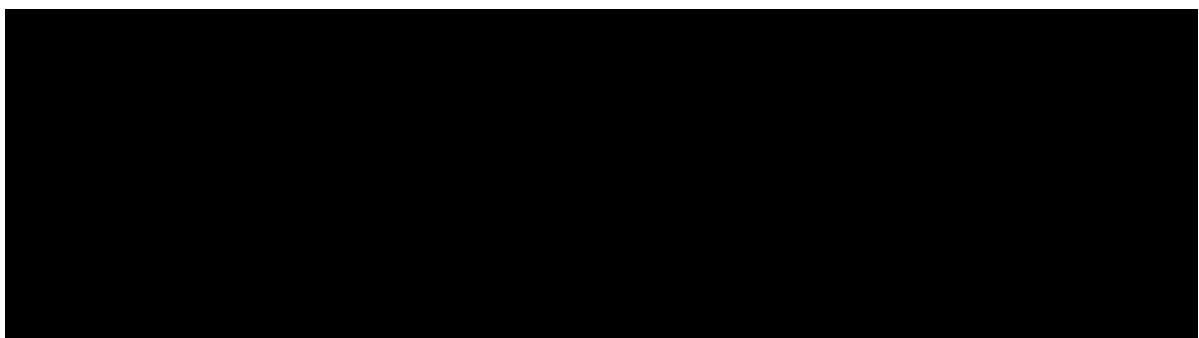


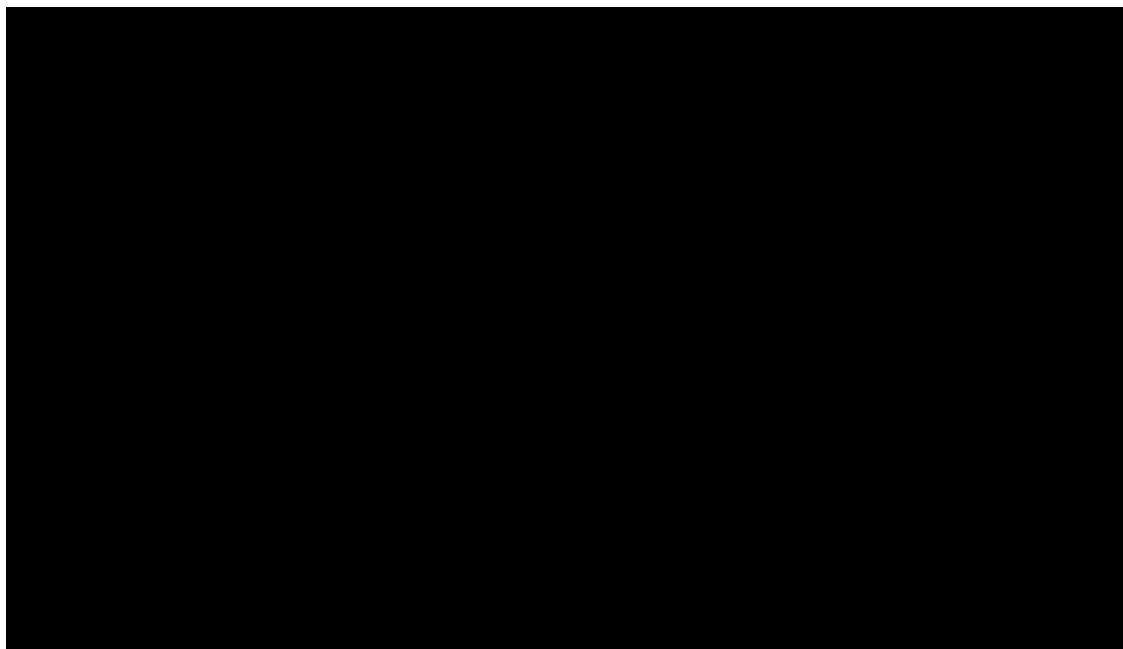




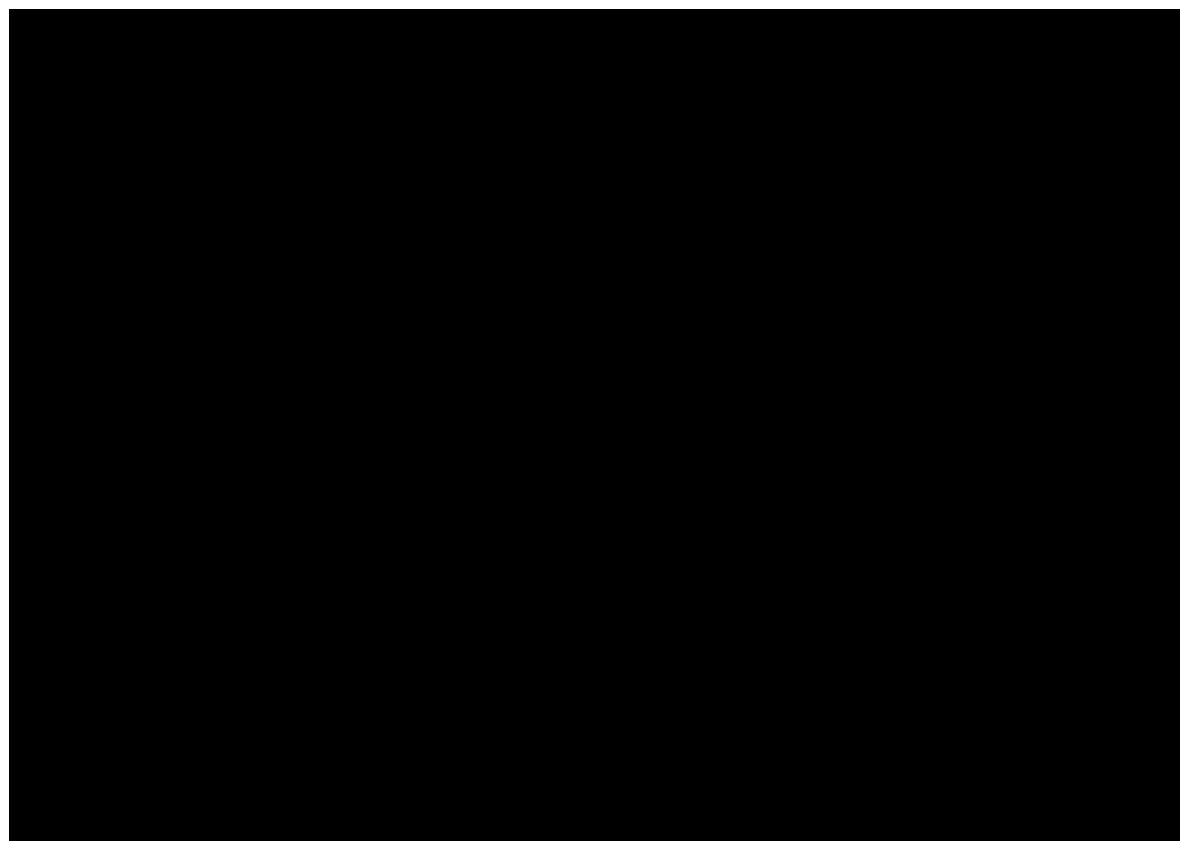


#### **4.45 Processing Non-Approved ATF forms**



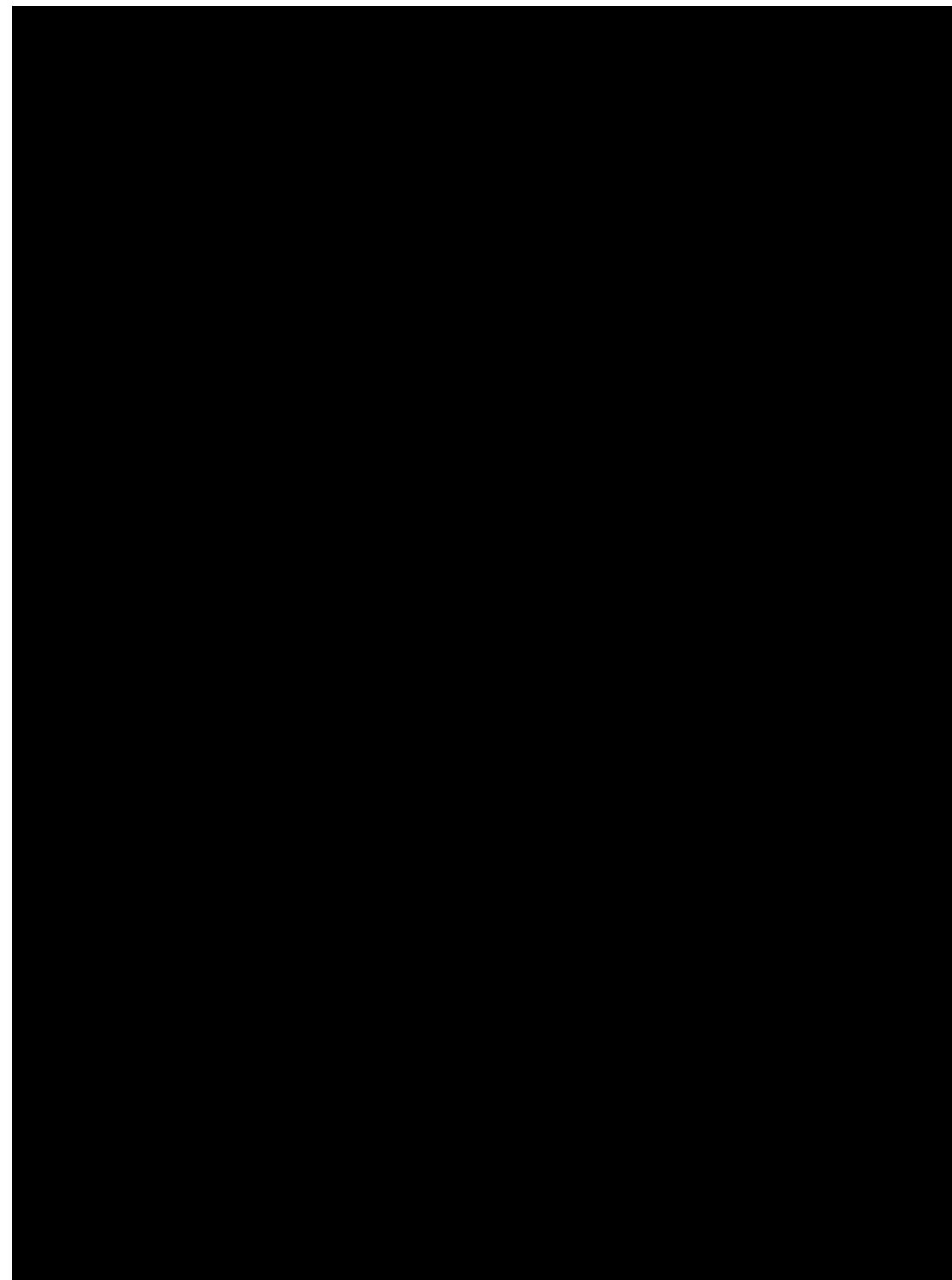


#### **4.46 Processing Changes in Licensee Name / Trade Name**



#### **4.47 Suspension of a License**



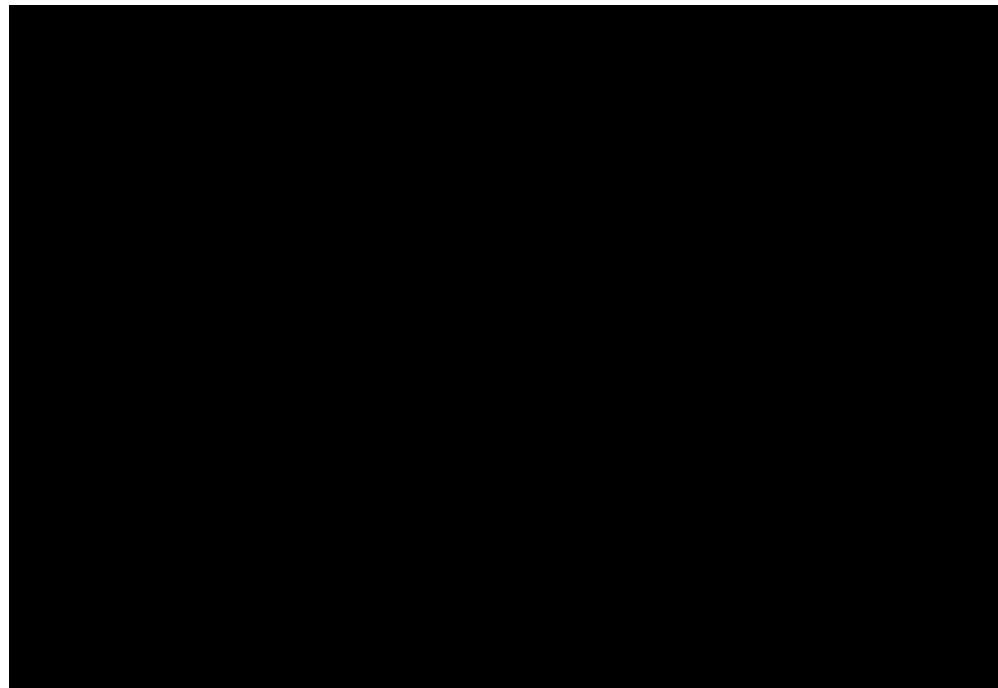


#### **4.48 Processing Background Checks on Prohibited Persons**

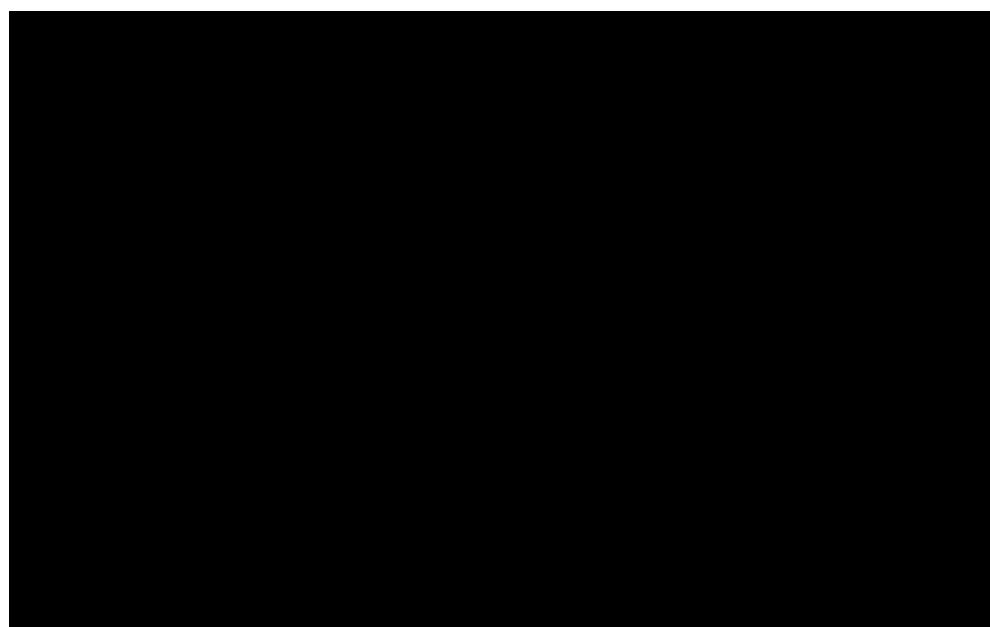
FFLC will notify prohibited RPs of their prohibited status in several ways based on business structure. Any prohibited FFL who applies for relief while the current appropriations restriction is in place, may be denied renewal of his/her FFL after 30 days from the date firearms disabilities were incurred. A formal

request with background check supporting documentation, and any other related documents, must be submitted by the Chief, FFLC to Chief Counsel, through established channels, requesting a written opinion of whether a pending renewal application may be denied. See Exhibit 35.

**4.48.1 Prohibited sole responsible person on an original or renewal application, or existing license**



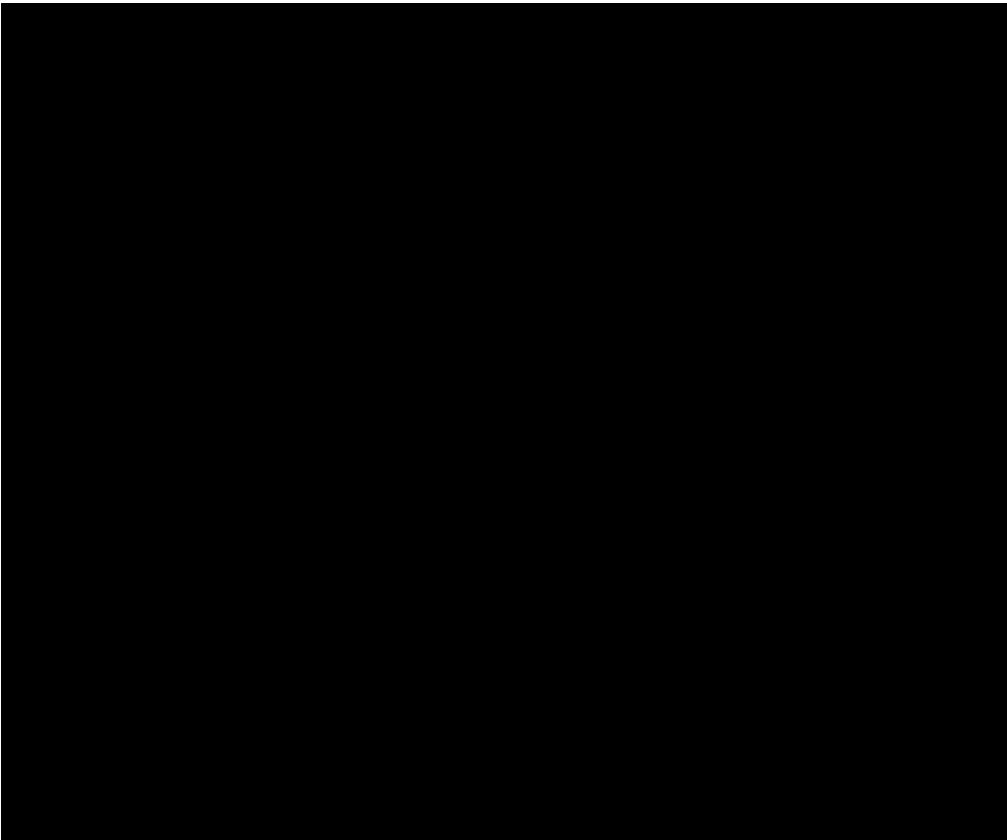
**4.48.2 Prohibited responsible person on multi-person original or renewal application, or existing license**



**4.48.3 Prohibited RP is the owner of a sole proprietorship with multiple RPs, on a renewal application, and the prohibited status by both FBI/NICs and ACHC is due to indictment for a Felony, or any other crime for which the judge could imprison them for more than one year.**



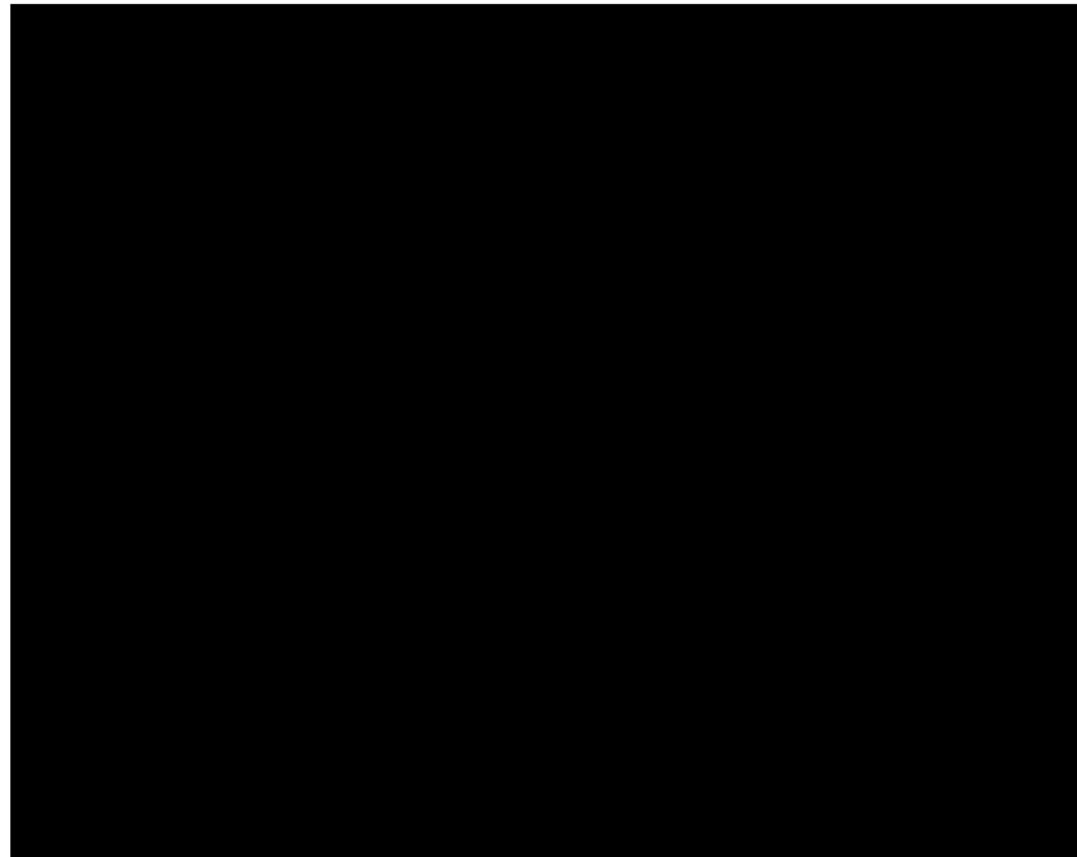
**4.48.4 State Prohibited Responsible Person only (not federally prohibited)**



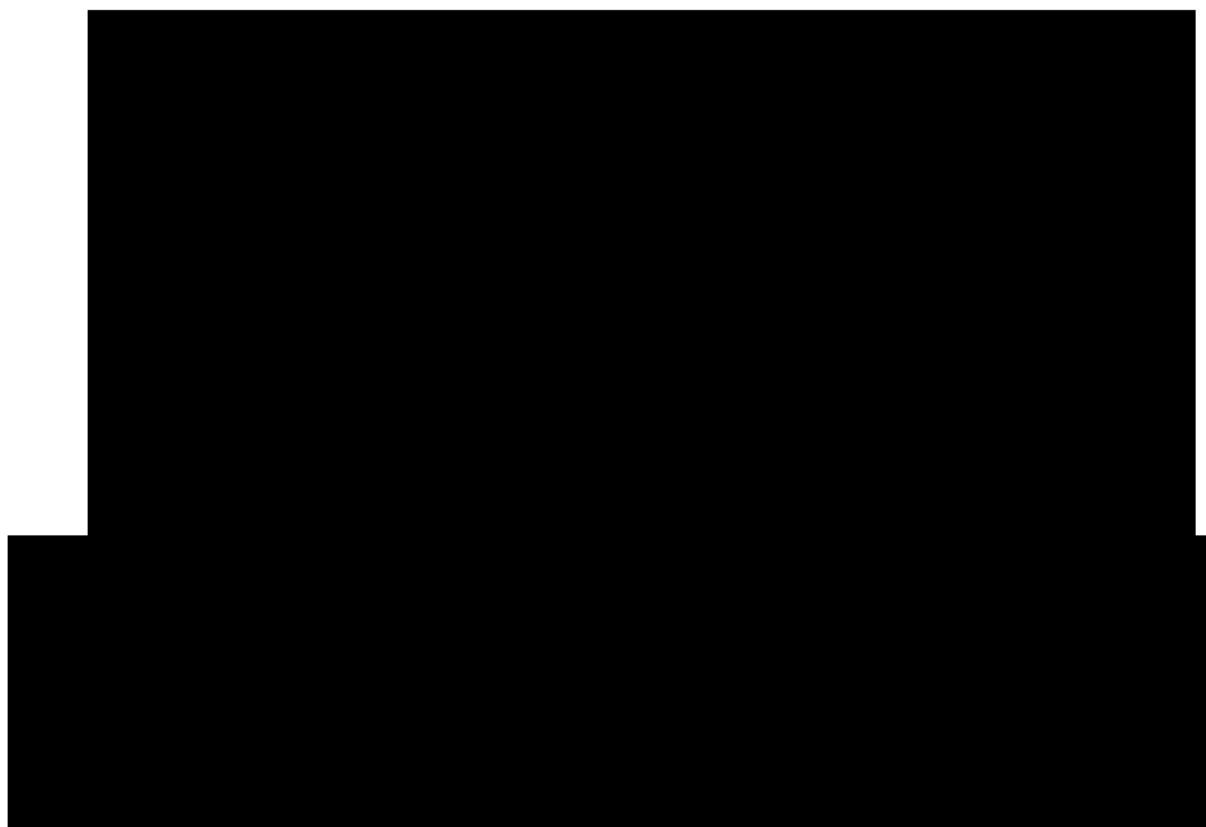
[REDACTED]

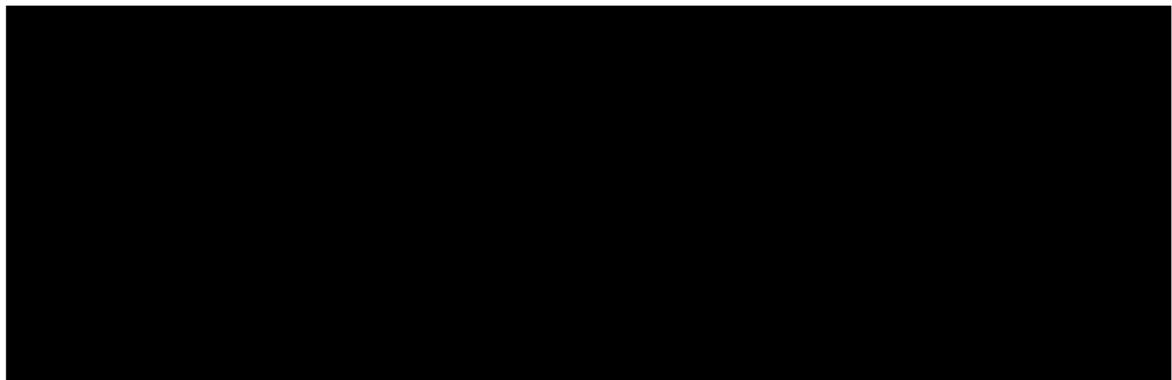
**4.49 Expediting Applications for Federal Firearms License ATF Form 7**

[REDACTED]

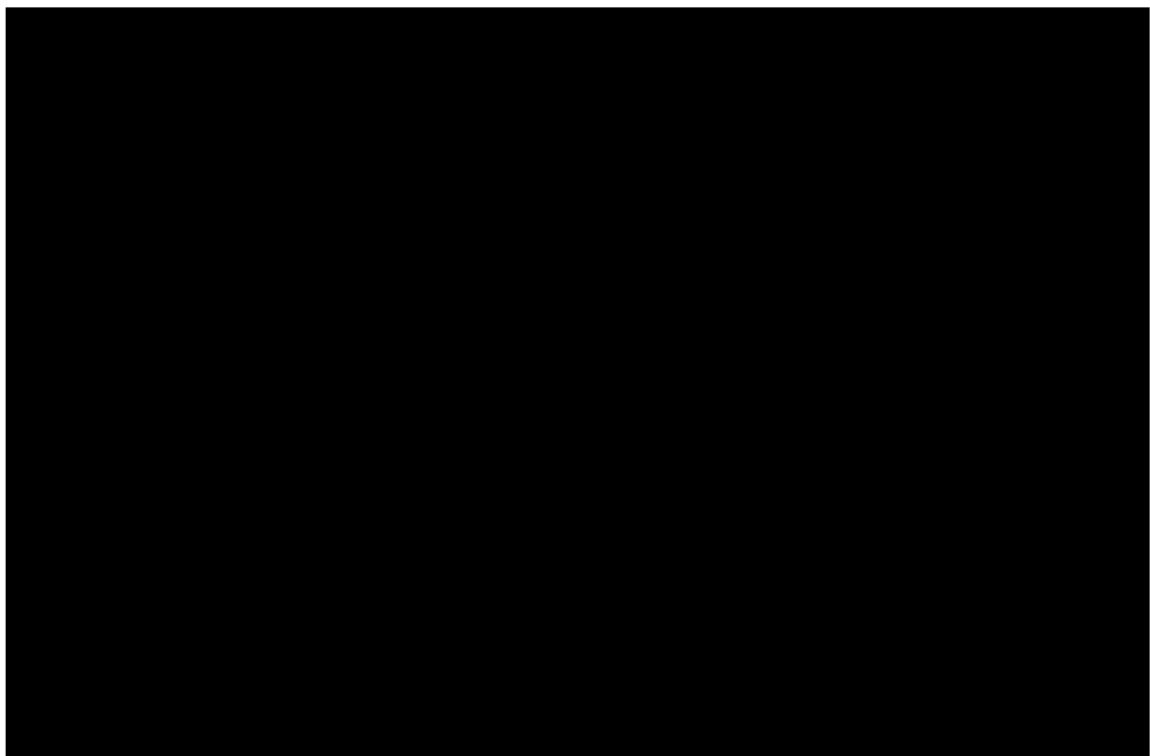


**4.50 Processing New Applications submitted in the name of a Trust**





#### **4.51 FLS Disposition of Unreported Move – License abandoned**



#### **4.52 Examiner Responsibilities with Licensees Undergoing Adverse Action**

##### **A. Warning Letter Recommendation**

Upon receipt of the inspection report having a Warning Letter recommendation that has a concurrence from the Area Supervisor (A/S), the Legal Instruments Examiner updates the inspection date and adds comments in FLS and will forward the inspection report to imaging. If a warning letter is sent as a result of the recommendation, SAF code “Warning Letter Sent” should be added in FLS. SAF codes are typically requested via PII from the Area Office.

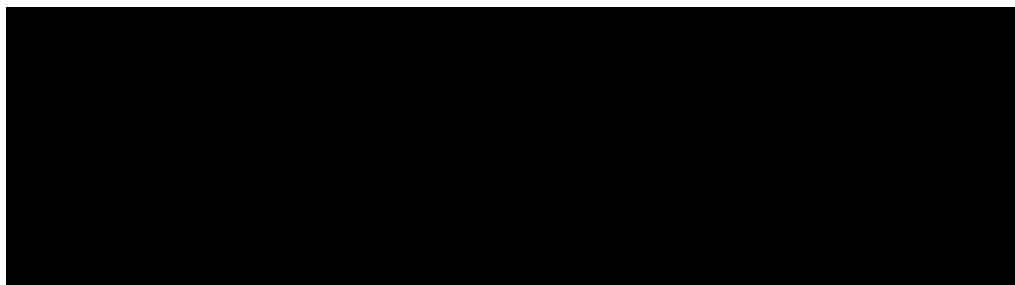
##### **B. Warning Conference Recommendation**

Upon receipt of the inspection report, the Legal Instruments Examiner will update the inspection date and add comments in FLS and forward the inspection report to imaging.

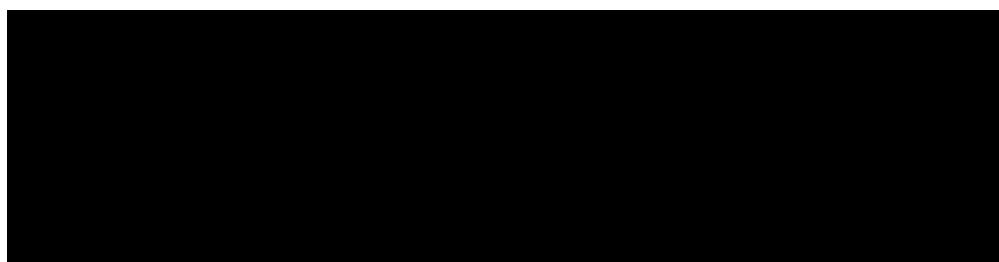
C. Follow-Up Letter to a Warning Conference – Warning Conference Held

When a Legal Instruments Examiner receives a copy of a follow-up letter regarding a previously held Warning Conference, comments are to be placed into FLS stating that the letter was received and forwarded to imaging and add SAF code “Warning Conference Held” if it was not already added from receipt of a PII. The letter is then forwarded to imaging.

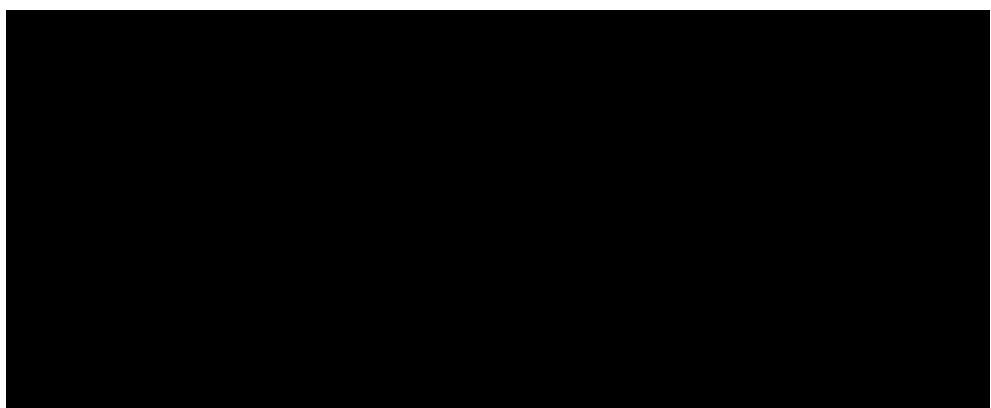
D. Denial Recommendation – A/S Does Not Concur



E. Denial Recommendation – A/S Concurs but DIO Does Not Concur



F. Final Disposition Denied, Denied Renewal, or Revoked



# 1. Application for Federal Firearms License ATF Form 7(5310.12)/7CR(53110.16)

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

OMB No. 1140-0018

## Application for Federal Firearms License

Part A			
1. Applicant's Business/Activity is: <input type="checkbox"/> Individual Owner ( <i>Sole Proprietor</i> ) <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> LLC <input type="checkbox"/> Collector ( <i>which can be an individual/partnership/corporation or LLC</i> ) <input type="checkbox"/> Other ( <i>specify</i> ) _____			
2. Applicant Name ( <i>Enter name of Owner/Sole Proprietor OR Partnership (include name of each partner) OR Corporation Name OR LLC Name</i> )			
3. Trade or Business Name(s), if any	4. Employer Identification Number ( <i>EIN</i> ), if any ( <i>see definition #17</i> )	5. Name of County in which Business/Activity is Located	
6. Business/Activity Address ( <i>RFD or Street Number, City, State, and ZIP Code</i> ) ( <i>NOTE: This address CANNOT be a P.O. Box.</i> )	7. Mailing Address ( <i>if different from address in item #6</i> )		
8. Contact Numbers ( <i>Include Area Code</i> ) Business/Activity Phone _____ Fax Number _____ Cell Phone _____ Business Email _____			
9. Describe the specific activity applicant is engaged in or intends to engage in, which requires a Federal Firearms License ( <i>sale of ammunition alone does not require a Federal Firearms License</i> ).  10. Application is made for a license under 18 U.S.C. Chapter 44 as to <i>(Place an "X" in the appropriate box(es). Multiple license types may be selected- see instruction #8. Submit the fee noted next to the box(es) with the application. Licenses are issued for a 3-year period. See instruction #5 for payment information).</i>			
Type	Description of License Type	Fee	
01	Dealer in Firearms Other than Destructive Devices ( <i>Includes: rifles, shotguns, pistols, revolvers, gunsmith activities, and National Firearms Act (NFA) weapons</i> ) ( <i>see instruction #10</i> )	\$200 <input type="checkbox"/>	
02	Pawnbroker in Firearms Other than Destructive Devices ( <i>Includes: rifles, shotguns, pistols, revolvers, gunsmith activities, and National Firearms Act (NFA) weapons</i> ) ( <i>see instruction #10</i> )	\$200 <input type="checkbox"/>	
03	Collector of Curios and Relics ( <i>NOTE: This is not a license to conduct business, see instruction #8</i> )	\$30 <input type="checkbox"/>	
06	Manufacturer of Ammunition for Firearms Other Than Ammunition for Destructive Devices or Armor Piercing Ammunition ( <i>see instruction #11</i> )	\$30 <input type="checkbox"/>	
07	Manufacturer of Firearms Other than Destructive Devices ( <i>see instruction #11</i> )	\$150 <input type="checkbox"/>	
08	Importer of Firearms Other than Destructive Devices or Ammunition for Firearms Other than Destructive Devices, or Ammunition Other than Armor Piercing Ammunition ( <i>NOTE: Importer of handguns and rifles, see instruction #9</i> )	\$150 <input type="checkbox"/>	
09	Dealer in Destructive Devices ( <i>see definition #20</i> )	\$3000 <input type="checkbox"/>	
10	Manufacturer of Destructive Devices, Ammunition for Destructive Devices, or Armor Piercing Ammunition ( <i>see instruction #11</i> )	\$3000 <input type="checkbox"/>	
11	Importer of Destructive Devices, Ammunition for Destructive Devices, or Armor Piercing Ammunition ( <i>see instruction #9</i> )	\$3000 <input type="checkbox"/>	
			Total Fees \$

### 11. Method of Payment (Check one)

Check (*Enclosed*)  Cashier's Check or Money Order (*Enclosed*)  Visa  Mastercard  American Express  Discover  Diner's Club

Credit/Debit Card Number (*No dashes*) \_\_\_\_\_ Name as Printed on Your Credit/Debit Card \_\_\_\_\_ Expiration Date (*MM/YY*) \_\_\_\_\_

Credit/Debit Card Address:  
Billing Address: City: State: ZIP Code:

### Please complete to ensure payment is credited to the correct application:

I am paying the application fee for the following Person, Corporation, or Partnership:

Total Application Fees:

\$

I authorize ATF to charge my Credit/Debit Card the above amount. Your credit/debit card will be charged the above stated amount upon receipt of your application and a charge from "ATF Licensing Fee" will be reflected on your credit/debit card statement. In the event a license is NOT issued, the above amount will be credited to the credit/debit card noted above.

Signature of Cardholder \_\_\_\_\_

Date \_\_\_\_\_

ATF Form 7(5310.12)/7CR(53110.16)  
Revised May 2017

Page 1

## **5. Applicant Fingerprint Card FD-258**

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK						FBI		LEAVE BLANK	
SIGNATURE OF PERSON FINGERPRINTED		2		LAST NAME <u>NAM</u>		FIRST NAME		MIDDLE NAME					
RESIDENCE OF PERSON FINGERPRINTED		3		ALIASES <u>AKA</u>		O R I		WVATFL1100 ATF-FFLC Martinsburg, WV				DATE OF BIRTH <u>DOB</u> Month <u>5</u> Day <u>Year</u>	
DATE <u>19</u>		SIGNATURE OF OFFICIAL TAKING FINGERPRINTS <u>20</u>		CITIZENSHIP <u>CTZ</u>		6		SEX <u>7</u> RACE <u>8</u> HEIGHT <u>9</u> WEIGHT <u>10</u> EYES <u>11</u> HAIR <u>12</u>				PLACE OF BIRTH <u>POB</u> <u>13</u>	
EMPLOYER AND ADDRESS				YOUR NO. <u>OCA</u>		14				LEAVE BLANK			
REASON FINGERPRINTED		22		FBI NO. <u>FBI</u>		Do Not Use				CLASS _____			
				ARMED FORCES NO. <u>MNU</u>		Do Not Use				REF. _____			
				SOCIAL SECURITY NO. <u>SOC</u>		17							
				MISCELLANEOUS NO. <u>MNU</u>		18							
						23							
						<u>TWO SETS</u>							
						<u>COMPLETE AND</u> <u>LEGIBLE</u> <u>FINGERPRINTS</u>							
1. R. THUMB		2. R. INDEX		3. R. MIDDLE		4. R. RING		5. R. LITTLE					
6. L. THUMB		7. L. INDEX		8. L. MIDDLE		9. L. RING		10. L. LITTLE					
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY													
				L. THUMB		R. THUMB							
RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY													

## SUBMISSION OF FINGERPRINT CARDS

THESE FIELDS ARE *REQUIRED* IN ORDER TO SUBMIT FINGERPRINT CARDS. EACH OF THESE FIELDS SHOULD BE CLEAR AND LEGIBLE.

BLOCK 1	_____	FULL NAME (LAST, FIRST, MIDDLE)
BLOCK 2	_____	SIGNATURE OF PERSON FINGERPRINTED
BLOCK 3	_____	RESIDENCE OF PERSON FINGERPRINTED (COMPLETE ADDRESS, CITY, STATE, ZIP CODE)
BLOCK 5	_____	DATE OF BIRTH (DOB) – MM/DD/YYYY
BLOCK 6	_____	COUNTRY OF CITIZENSHIP
BLOCK 7	_____	SEX (FEMALE – “F”; MALE – “M”)
BLOCK 8	_____	RACE (American Indian – “I”; Hispanic/Latino – “H”; Black or African American – “B”; Asian – “A”; Native Hawaiian/ Pacific Islander – “P”; White/Caucasian – “W”; Unknown – “U”)
BLOCK 9	_____	HEIGHT (3 Characters: Example – Five foot Four inches is 504)
BLOCK 10	_____	WEIGHT (3 Characters – Weight must be expressed in pounds)
BLOCK 11	_____	EYE COLOR (3 Character Abbreviation)
BLOCK 12	_____	HAIR COLOR (3 Character Abbreviation)
BLOCK 13	_____	PLACE OF BIRTH (POB): STATE (U.S. Citizen) or COUNTRY
BLOCK 14	_____	OCA/RDS KEY FOR THE RELATED LICENSE
BLOCK 17	_____	SOCIAL SECURITY NUMBER (If Provided)
BLOCK 18	_____	MISCELLANEOUS NUMBER (FOR NON-U.S. CITIZEN) – ALIEN REGISTRATION NUMBER (AR#) OR I-94 NUMBER
BLOCK 19	_____	DATE FINGERPRINTS WERE TAKEN - MM/DD/YYYY
BLOCK 20	_____	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS
BLOCK 22	_____	REASON FINGERPRINTED - “FIREARMS BACKGROUND CHECK” OR “FFLC”
BLOCK 23	_____	FINGERPRINT IMPRESSIONS (COMPLETE AND LEGIBLE)

**INSTRUCTIONS:**

- 1 - Enter each Responsible Person's name and license number in the appropriate columns.
- 2 - Fingerprint cards are to be given to the Fingerprint Card POC weekly **BY MONDAY MORNING** along with the completed Fingerprint Card Transmittal Log.
- 3 - The Supervisors will review the fingerprint cards for completion and accuracy and approve the fingerprint cards for submission via FCSS, or indicate the reason it was returned to the examiner.
- 4 - The Fingerprint Card POC will return the Fingerprint Card Transmittal Log and any incomplete or incorrect fingerprint cards to the Examiner.
- 5 - The Examiner will make the necessary corrections as indicated and return the fingerprint card with the Fingerprint Card Transmittal Log back to the Fingerprint Card POC.

## **6. Fingerprint Card Transmittal Log**

## 7. Area Office Transmittal Checklist

	<p style="text-align: center;"><b>U.S. Department of Justice</b> Bureau of Alcohol, Tobacco, Firearms and Explosives 2600 Century Parkway, Suite 110 Atlanta, Georgia 30345-3120  <a href="http://www.atf.gov">www.atf.gov</a></p>
901020 5300	
<p><b>MEMO TO:</b> <u>Insert Area Office Name</u>, <u>AREA SUPERVISOR</u></p> <p><b>FROM:</b> <u>Insert Your Name</u>, <u>FFLC EXAMINER</u></p> <p><b>DATE:</b> <u>Insert Today's Date</u></p> <p><b>SUBJECT:</b> <u>FFL NUMBER</u></p>	
<p>The attached application for Federal Firearms License was received in the National Licensing Center. Required documentation as reflected below was not included. Please obtain the requested additional documentation, as indicated and/or have the applicable and appropriate corrections made as indicated. Please ensure all documents are included with the applicable ATF Form 5700.14, Assignment and Report, and that any amendments/corrections are clearly identified in item 11, ATF Officer's Recommendation. Please return this original application to us since we are no longer making copies of applications.</p> <p class="list-item-l1"><input type="checkbox"/> Items 1, 8 20, and 25 must coincide with each other. Please verify the type of ownership that is requested and correct needed items.</p> <p class="list-item-l1"><input type="checkbox"/> Item 5 must be completed. Please provide the address for the license location. A Post Office Box is not acceptable in Item 5.</p> <p class="list-item-l1"><input type="checkbox"/> Item 7 must be completed. Please provide the requested contact numbers.</p> <p class="list-item-l1"><input type="checkbox"/> Item 8 must be completed. Please complete by checking the appropriate box.</p> <p class="list-item-l1"><input type="checkbox"/> Item 9 needs to be completed. Please describe the activity in which the applicant will be engaged in that requires a Federal Firearms License.</p> <p class="list-item-l1"><input type="checkbox"/> Item 9A must be completed. Please check the box that is appropriate for the activity that the license is required.</p> <p class="list-item-l1"><input type="checkbox"/> Item 11 must be completed. You must list hours of operation during which your records are available for inspection by ATF, even if you conduct business by appointment only.</p> <p class="list-item-l1"><input type="checkbox"/> Item 13 requests information concerning your premises, please complete each section.</p> <p class="list-item-l1"><input type="checkbox"/> Please complete item 14.</p> <p class="list-item-l1"><input type="checkbox"/> Item 20 must be completed. In the case of a sole-ownership, the owner should be listed. In the case of a partnership, each partner must be shown. In the case of a corporation, association, or similar organization, any person owning 10% or more of the outstanding shares of stock issued by the applicant and the officer and directors must be listed. In the case of a corporation, partnership, or association, any individual possessing, directly or indirectly, the power to direct or cause the direction of the management, policies, and practices of the corporation, partnership, or association, insofar as they pertain to firearms must be listed.</p> <p class="list-item-l1"><input type="checkbox"/> Items 21A- 21E must be completed.</p>	

## **10. Assignment and Report (Inspection) ATF EF 5700.14**

**DEPARTMENT OF JUSTICE  
BUREAU OF ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES  
ASSIGNMENT AND REPORT**

1. OPERATING NAME AND ADDRESS (INCLUDE ZIP CODE AND COUNTY)		2. U.I. NUMBER (ORG. SEG. CODE, ASSIGNMENT NO., P.P.C.) 771055-2006-0082-B1B		
Star Brokers, Inc. Star Brokers 214 West Broad Ave. Albany, GA 31701, Dougherty		3. PERMIT/LICENSE NUMBER 15809502XX02995		4a. TARGET DATE
				4b. TARGET HOURS
5. REQUESTED BY (SIGNATURE, TITLE AND DATE)				
6. ATF OFFICER(S) ASSIGNED Regina Milledge - Lead Inspector				
7. ASSIGNED BY (SIGNATURE, TITLE AND DATE) Lavonda M. Parker , Area Supervisor, 12/15/2005				
8. PURPOSE/SPECIAL INSTRUCTIONS  Conduct firearms qualification inspection.				
9. INSPECTION RESULTS <input type="checkbox"/> CHECK IF NO VIOLATIONS, ADJUSTMENTS, ETC		10. TRAVEL EXPENSES (OPTIONAL)		
NO. OF VIOLATIONS	NO. OF REFERRALS	2111 - PER DIEM		
NO. OF TECS CHECKS	NO. OF TECS HITS	2112 - P.O.A.		
NO. OF TAX ADJUSTMENTS	\$ VALUE OF TAX INCREASES	2113 - COMM. AIR		
	\$ VALUE OF TAX DECREASES	2114 - RENTAL CAR		
NO. OF ASSESSMENTS	\$ VALUE OF ASSESSMENTS	2115 - GPV EXPENSES		
NO. OF CLAIMS	\$ VALUE OF CLAIMS	2116 - MISC.		
NO. OF TAX PERIODS	\$ VALUE OF TAXES VERIFIED	TOTAL \$ FOR INSP.		
11. ATF OFFICER'S RECOMMENDATION Submitted by RMMILLEDGE - Inspector				
Submitted on: 01/10/2006				
Approve Original				
12. TIME ACCOUNTING DATA				
ATF OFFICER'S NAME (MONTH, YEAR, HOURS)		Regina Milledge		
DEC 2005	3.00			
JAN 2006	12.50			
ATF OFFICER'S SUBTOTAL	15.50	ATF OFFICER'S SIGNATURE		
TOTAL HOURS	15.50			
13. REVIEW AND ROUTING				
REVIEW COMMENTS AND RECOMMENDATION				
Application submitted pursuant a change in control in officers and stockholders. Previous FFL, 58-02995, records will be maintained at premises. However, new A & D and serial number of 4473's will begin after license is issued. Changes/corrections were made to Form 7, but only change to FLS will be titles of responsible persons.				
Approve Original				
<input checked="" type="checkbox"/> REVIEWED		<input checked="" type="checkbox"/> CONCUR	<input checked="" type="checkbox"/> SEE COMMENTS	<input checked="" type="checkbox"/> FINAL DISPOSITION
SIGNATURE AND TITLE LMPARKER - Area Supervisor			REVIEW DATE 01/10/2006	
ROUTING SEQUENCE AND DATE				
<input type="checkbox"/> 1. _____ <input type="checkbox"/> 2. _____ <input type="checkbox"/> 3. _____ <input type="checkbox"/> 4. _____			CONTROL FILE POSTED DATE _____	

ATF EF 5700.14 (10-98) For Official Use Only

Page 1 of 1

## 20. Background Check Review Team Check-list

### Background Check Review Team Check List

Examiner Name: \_\_\_\_\_ Date: \_\_\_\_\_  
Supervisor's Name: \_\_\_\_\_

**Examiner Section:** Please type responses and check boxes as steps are completed.

RDS Key: \_\_\_\_\_

Licensee Name: \_\_\_\_\_

Responsible Person's (RP) Name in question: \_\_\_\_\_

1. Date of Offense: \_\_\_\_\_

2. FBI/SID#: \_\_\_\_\_

3. Criminal Charge (or Other Item - i.e. protection order) in question :  
\_\_\_\_\_

a. If charge is possible domestic violence (DV), the state DV chart indicates:

All Meets DV  Possibly Meets DV  Does Not Meet DV

b. Attach copy of DV chart.

c. State relationship of RP and Victim: \_\_\_\_\_  
\_\_\_\_\_

4. State in which offense occurred and statute (if listed): \_\_\_\_\_

5. Maximum punishment for offense (if listed): \_\_\_\_\_

6. FBI response to Fingerprint Check:  Denied  Open  N/A (03/Renewal)

7. Microfilm Checked:  Yes  No  N/A - Reason:  
Results:  
\_\_\_\_\_  
\_\_\_\_\_

8. ATF Relief of Disabilities Database checked if conviction was prior to December  
1998:  Yes  No  N/A (after Dec 98)

9. Arrest Letter sent and response received:  Yes  No  
Response:  
\_\_\_\_\_

10. Are court documents available on line for this state?  Yes  No  
a. Did you check court documents?  Yes  No  
b. Did you check:  
[http://www.ncsconline.org/D\\_KIS/info\\_court\\_web\\_sites.html](http://www.ncsconline.org/D_KIS/info_court_web_sites.html)  Yes  No  
[http://federalprisonconsultants.com/state\\_prisons.html](http://federalprisonconsultants.com/state_prisons.html)  Yes  No

## Background Review Team Check List

Note to examiner: For items 11, 12, and 13 below – if a response of “no records found” is received from the point of contact, please request a written statement stating such for our records on letterhead or by e-mail from valid source.

11. Name of Court: \_\_\_\_\_  
a. Name/Title of Person contacted: \_\_\_\_\_  
b. Phone number: \_\_\_\_\_  
c. Date contacted: \_\_\_\_\_  
d. Were documents available?  Yes  No  
(if no, was the court willing to provide statement)  Yes  No  
Response: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
12. Name of Prosecuting Office: \_\_\_\_\_  
a. Name/Title of Person contacted: \_\_\_\_\_  
b. Phone number: \_\_\_\_\_  
c. Date contacted: \_\_\_\_\_  
d. Were documents available?  Yes  No  
(if no, was the court willing to provide statement)  Yes  No  
Response: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
13. Name of Arresting Agency: \_\_\_\_\_  
a. Name/Title of Person contacted: \_\_\_\_\_  
b. Phone number: \_\_\_\_\_  
c. Date contacted: \_\_\_\_\_  
d. Were documents available?  Yes  No  
(if no, was the court willing to provide statement)  Yes  No  
Response: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
14. If new information was obtained that may clear the RP, did you forward the information to FBI:  Yes  No  
Response: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
15. Please attach the following:  
  
 License Registration report printout from FLS.  
 All criminal response information (ACHC, Open Fox, Tecs, etc.)  
 Documentation received (Prosecutor, Arresting agency, court, individual)

**Review Team Section:**

FFLC Work Group conclusion:

Prohibited       Not Prohibited       Forward to Counsel

Team Assessment Summary:

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Review Team Assessment Date: \_\_\_\_\_

**ATF Counsel Section:**

Martinsburg Legal Counsel Input:

Prohibited       Not Prohibited

Forwarded to ATF counsel where charge originated. Date: \_\_\_\_\_

Attorney Assessment Summary:

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## 27. Change in Control Letter



U.S. Department of Justice

Bureau of Alcohol, Tobacco,  
Firearms and Explosives  
244 Needy Road  
Martinsburg, WV 25405

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June 16, 2009

Licensee / Trade Name  
Licensee Street Address  
City, State, Zip

901020:TLR:BAH  
5310

Dear [person's name who signed the letter].

The following is provided in regard to your letter dated [ ] which referenced a change in control pertaining to Federal firearms license number [type out the entire license number as it is shown on the license]. You indicated in your letter that the current business is not dissolving, and you are also not requesting a new license number. We believe that this constitutes a change of control, not a change of ownership. Therefore, pursuant to 26 CFR §478.54 you are required to submit written notification of this change under penalty of perjury. For convenience, you may use the ATF Form 7 although you may submit the required written notification in any format. We have enclosed the form for your use.

Please forward this information directly to our address listed above. Payment is not required as you are simply updating the information provided on the original ATF Form 7, not submitting an application for a new license. Any person, who was not listed as a responsible person on the previous application, and who you are adding at this time, will need to provide a 2"x2" photograph and two fingerprint cards (per person) to our office for processing. Additionally, if you are making a request to remove a responsible person currently listed on the license (see below listing), please provide this office with a written request to remove the individual(s).

Last Name	First Name	M.I.	Title

Please contact Examiner [name], at 304-616-[ ] with any questions you may have.

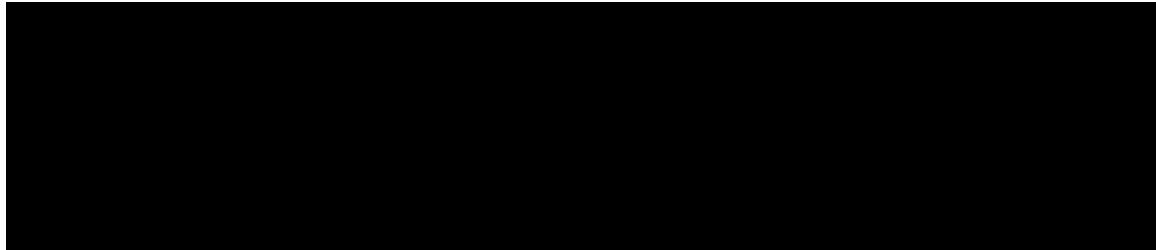
Sincerely,

Tracey Robertson  
Chief, Federal Firearms Licensing Center

## **28. Examiner State Specific Criteria**

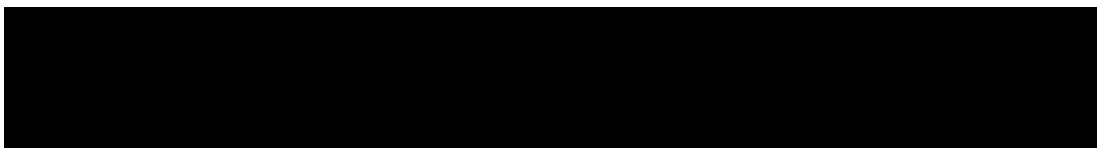
**Alabama** (District 1-63)

Nashville Field Division – Birmingham Area Office



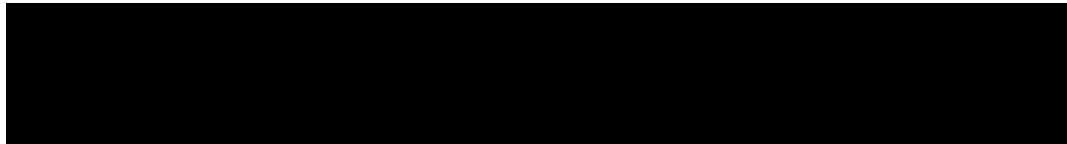
**Alaska** (District 9-92)

Seattle Field Division – Spokane Area Office



**Arizona** (District 9-86)

Phoenix Field Division – Phoenix III Area Office



Phoenix Field Division – Tucson III Area Office



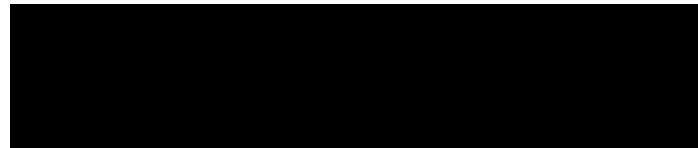
**Arkansas** (District 5-71)

New Orleans Field Division – Little Rock Area Office



**California** (Districts 9-68; 9-77; 9-94; 9-95)

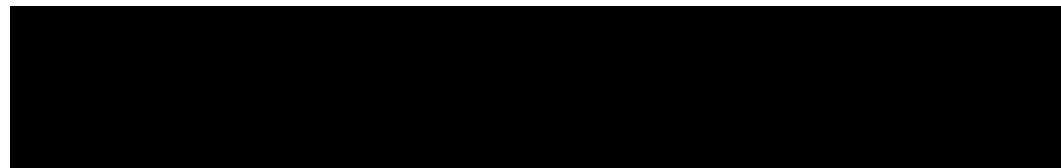
San Francisco Field Division – Sacramento Area Office



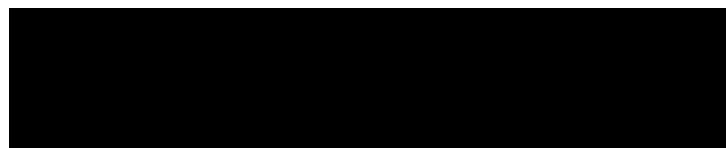
San Francisco Field Division – Santa Rosa (Dublin III) Area Office



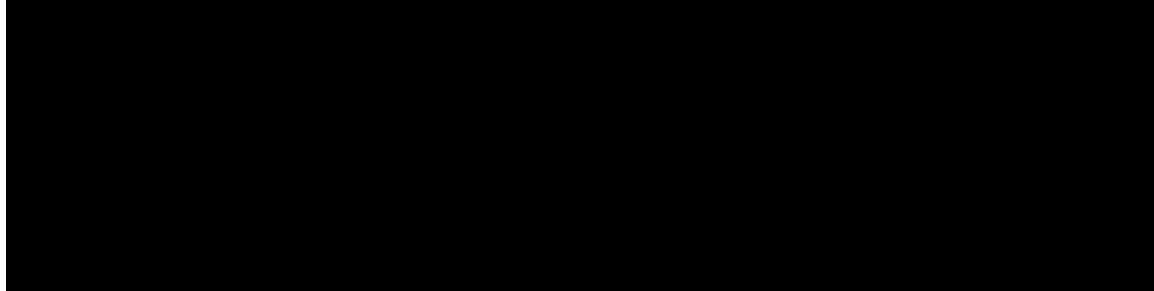
San Francisco Field Division – Fresno Area Office



Los Angeles Field Division – Los Angeles Area Office

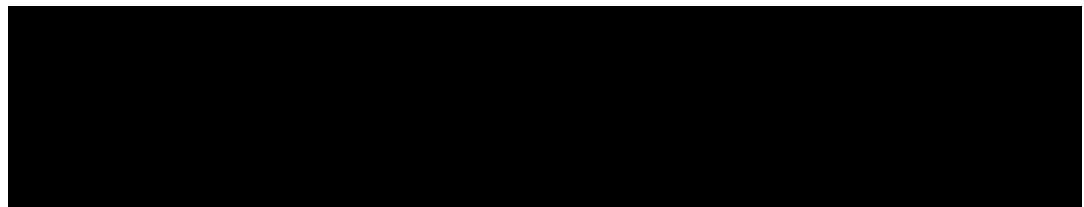


**California** (District 9-33)



**Colorado** (District 5-84)

Denver Field Division – Denver III Area Office



**Connecticut** (District 6-06)

Boston Field Division – Hartford Area Office



**Delaware** (District 8-51)

Baltimore Field Division – Baltimore Area Office

**Florida** (District 1-59)

Miami Field Division – Ft. Pierce Area Office

Miami Field Division – Miami Area Office

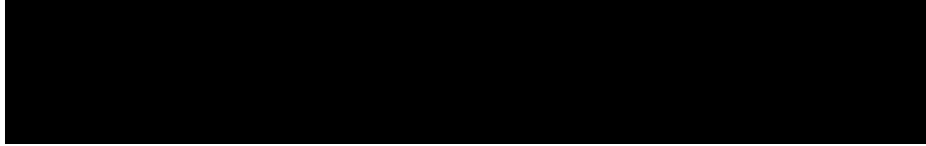
Tampa Field Division – Orlando Area Office

Tampa Field Division – Tallahassee Area Office

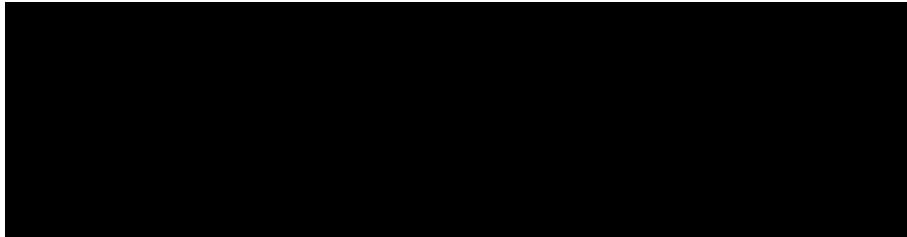
Tampa Field Division – Tampa Area Office

**Georgia** (District 1-58)

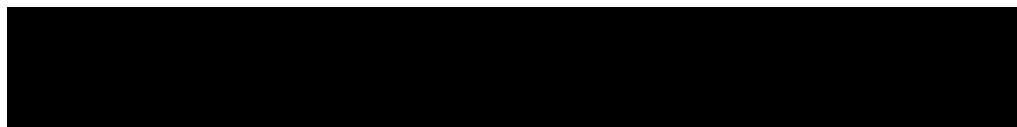
Atlanta Field Division – Atlanta V Area Office  
Atlanta Field Division – Atlanta VIII Area Office



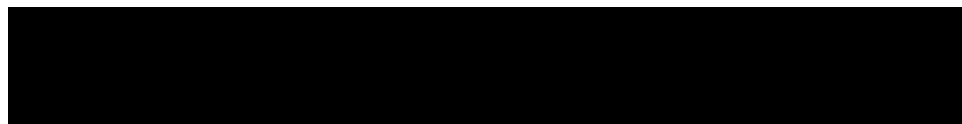
Atlanta Field Division – Macon II Area Office



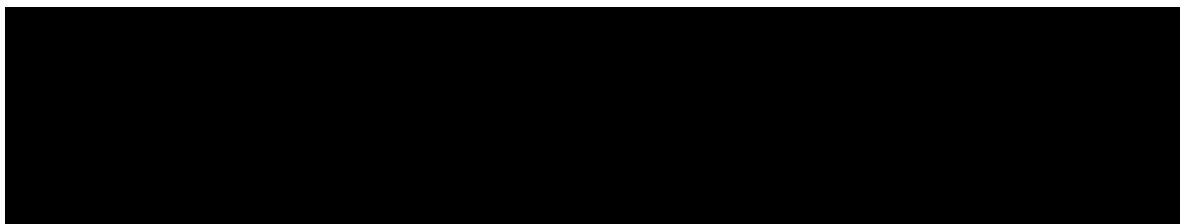
**Guam/American Samoa/Mariana Islands** (District 9-98)  
Seattle Field Division – Spokane Area Office



**Hawaii** (District 9-99)  
Seattle Field Division – Spokane Area Office



**Idaho** (District 9-82)  
Seattle Field Division – Spokane Area Office



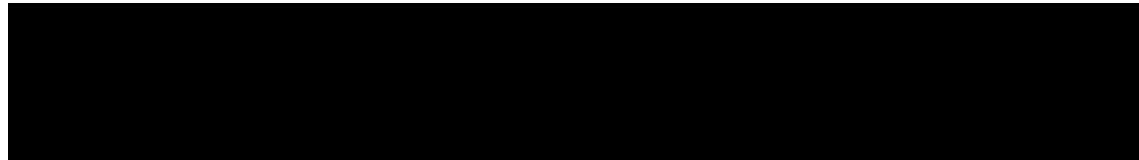
**Illinois** (Districts 3-36; 3-37)  
Chicago Field Division – Downers Grove Area Office  
Chicago Field Division – Springfield Area Office  
Chicago Field Division – Fairview Heights Area Office



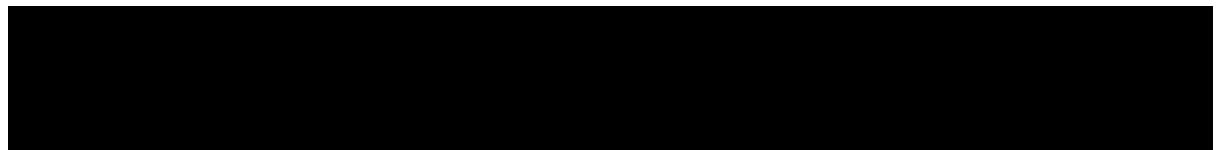
**Indiana** (District 4-35)  
Columbus Field Division – Indianapolis Area Office



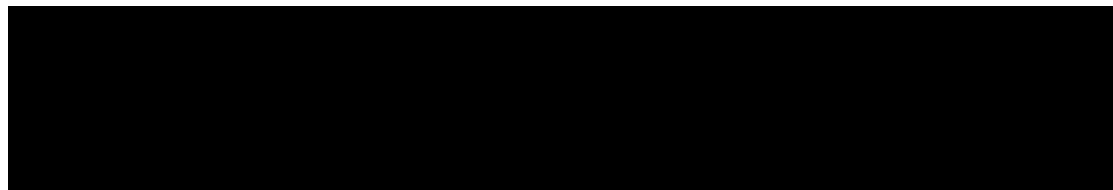
**Iowa** (District 5-42)  
Kansas City Field Division – Omaha Area Office



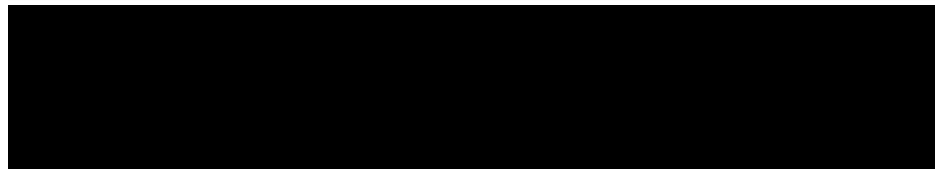
**Kansas** (District 5-48)  
Kansas City Field Division – Kansas City Area Office



**Kentucky** (District 4-61)  
Louisville Field Division – Louisville Area Office



Louisville Field Division – Lexington Area Office



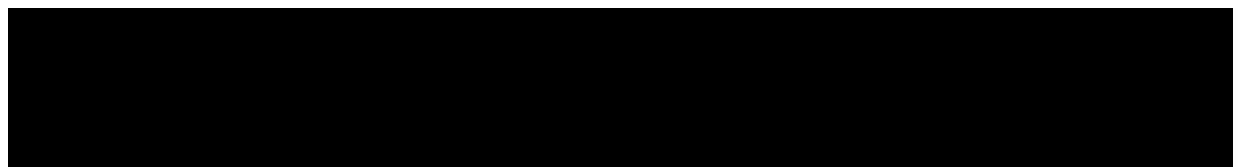
**Maine** (District 6-01)  
Boston Field Division – Boston Area Office



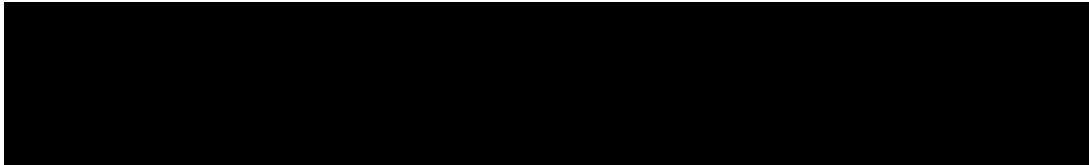
**Maryland** (District 8-52)  
Baltimore Field Division – Baltimore Area Office



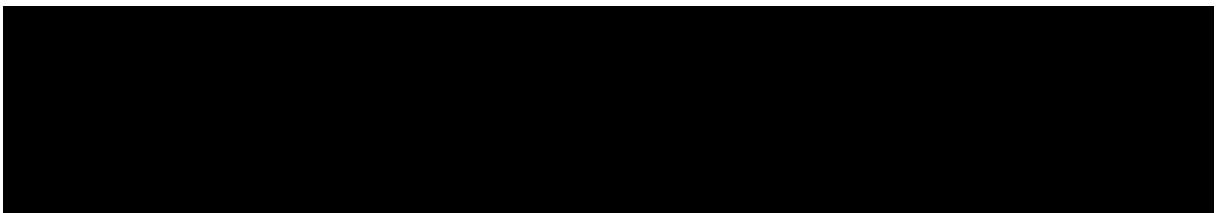
**Massachusetts** (District 6-04)  
Boston Field Division – Boston Area Office



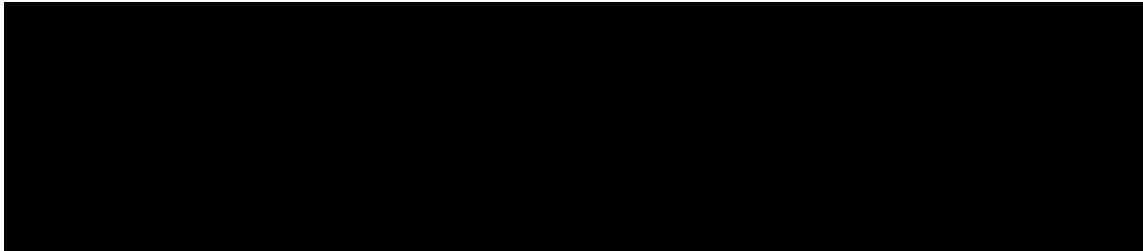
Boston Field Division – Hartford Area Office



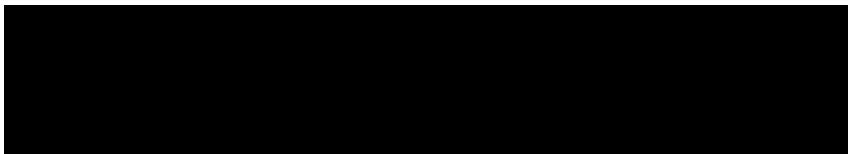
**Michigan** (District 4-38)  
Detroit Field Division – Detroit Area Office



Detroit Field Division – Grand Rapids Area Office



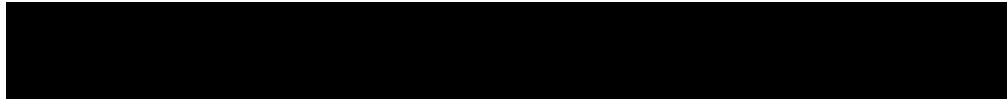
**Minnesota** (District 3-41)  
St. Paul Field Division – St. Paul Area Office



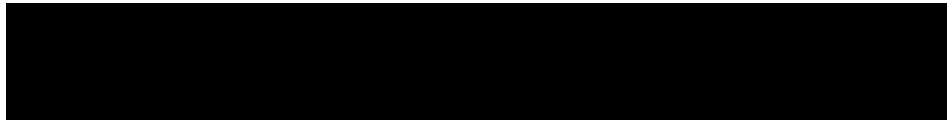
**Mississippi** (District 1-64)  
New Orleans Field Division – Jackson II Area Office



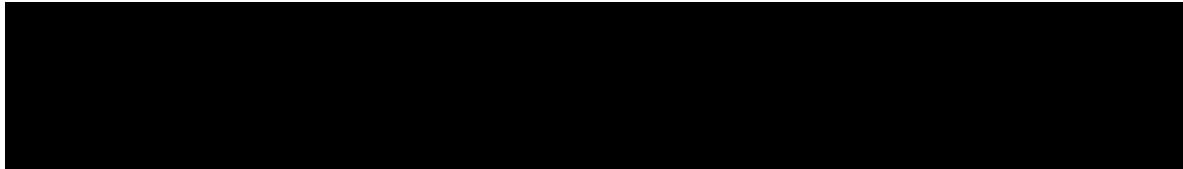
**Missouri** (District 5-43)  
Kansas City Field Division – Kansas Area Office



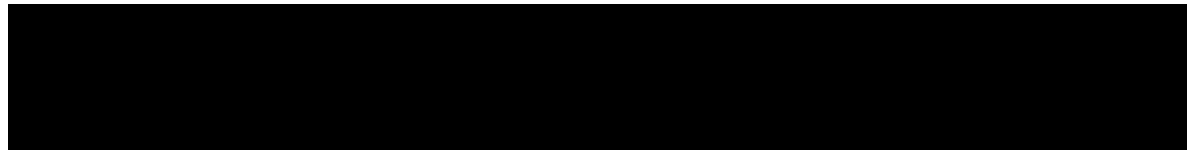
Kansas City Field Division – St. Louis Area Office



**Montana** (District 9-81)  
Denver Field Division – Salt Lake City II Area Office



**Nebraska** (District 5-47)  
Kansas City Field Division – Omaha Area Office



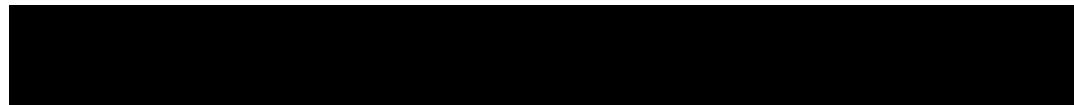
**Nevada** (District 9-88)  
San Francisco Field Division – Las Vegas III Area Office

- Requires all new applications (Form 7)
- Requires email to Area Office Supervisor on all renewals including:
  - ♦ FFL number
  - ♦ dealer name
  - ♦ full address (except for Type 03) - wait for response - and then send the ones they request to them
- Requires all Amended applications prior to issuance
- Does not require anything dealing with Curios and Relics

San Francisco Field Division – Sacramento Area Office

- Requires all new applications (Form 7)
- Requires email to Area Office Supervisor on all renewals including:
  - ♦ FFL number
  - ♦ dealer name
  - ♦ full address (except for Type 03) –wait for response - and then send the ones they request to them
- Requires all amended applications prior to issuance
- Does not require anything dealing with Curios and Relics

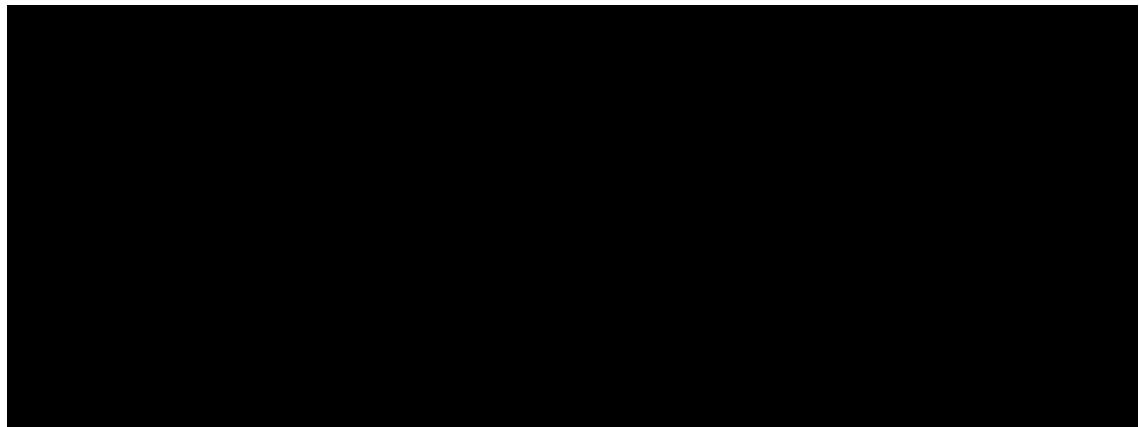
**New Hampshire** (District 6-02)  
Boston Field Division – Boston Area Office



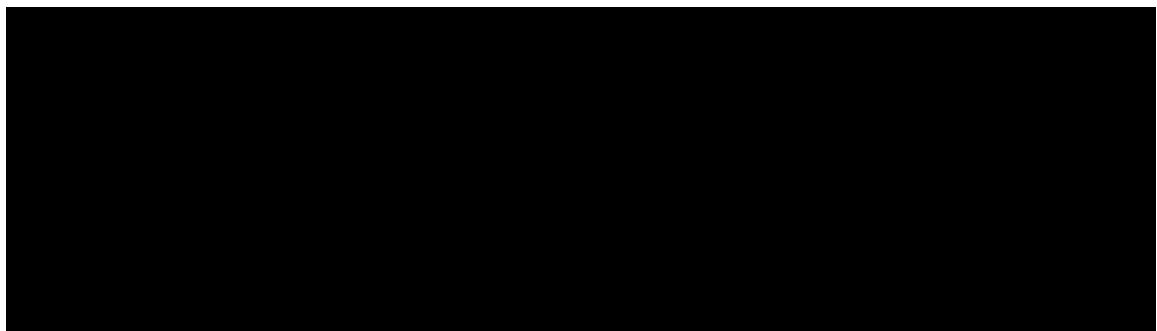
**New Jersey** (District 8-22)  
Newark Field Division – New Jersey Group III Area Office



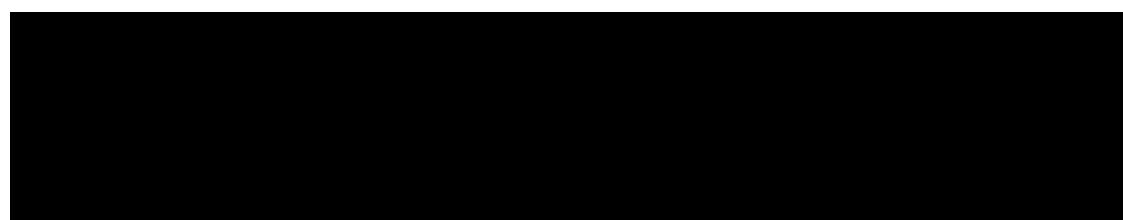
**New Mexico** (District 5-85)  
Phoenix Field Division – Tucson Group III Area Office



**New York** (Districts 6-11; 6-13; 6-14; 6-16)  
New York Field Division – Brooklyn Area Office



New York Field Division – Buffalo Area Office



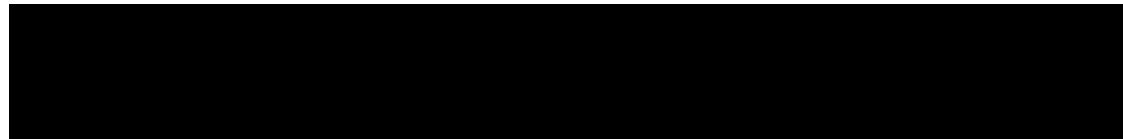
**North Carolina** (District 1-56)  
Charlotte Field Division – Charlotte III Area Office



Charlotte Field Division – Columbia II Area Office

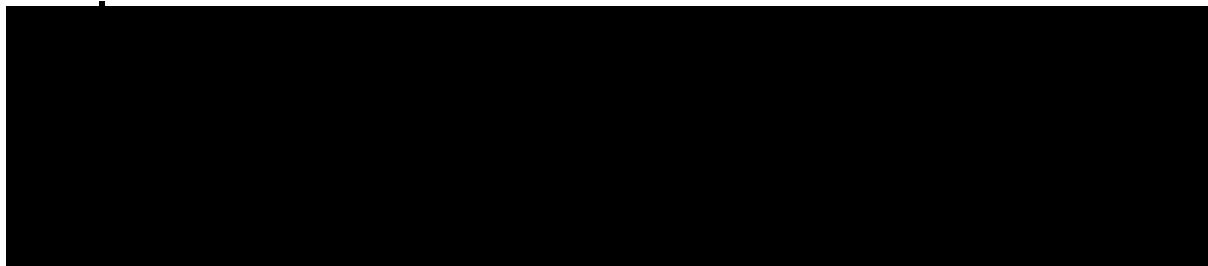


Charlotte Field Division – Greensboro II Area Office



**North Dakota** (District 3-45)

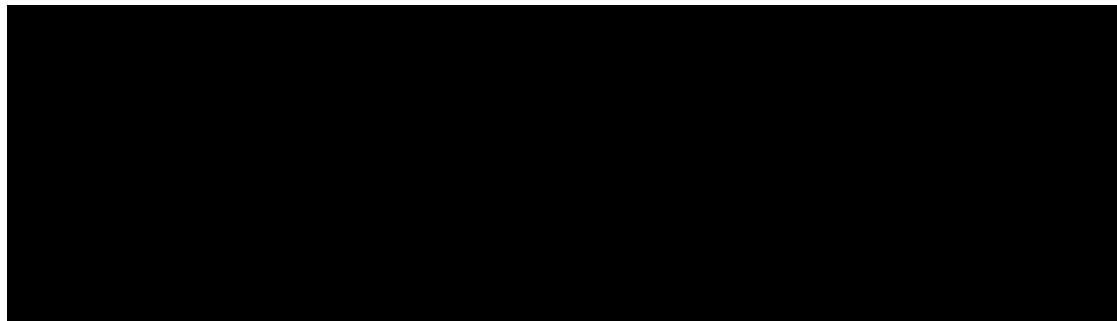
St. Paul Field Division – St. Paul Area Office



**Ohio** (Districts 4-31; 4-34)

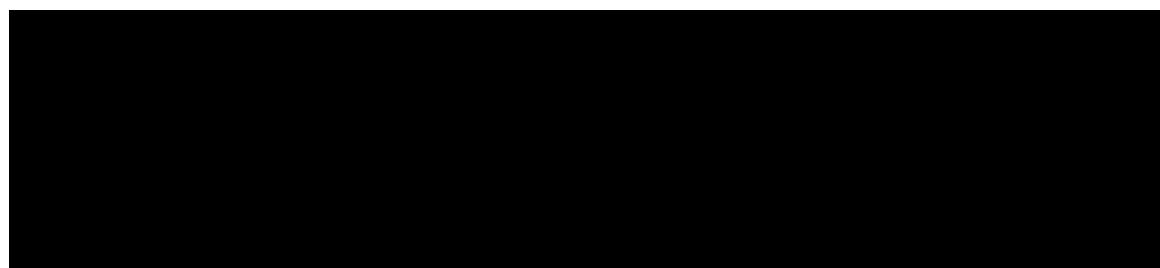
Columbus Field Division – Cincinnati Group II Area Office

Columbus Field Division – Cleveland Group III Area Office



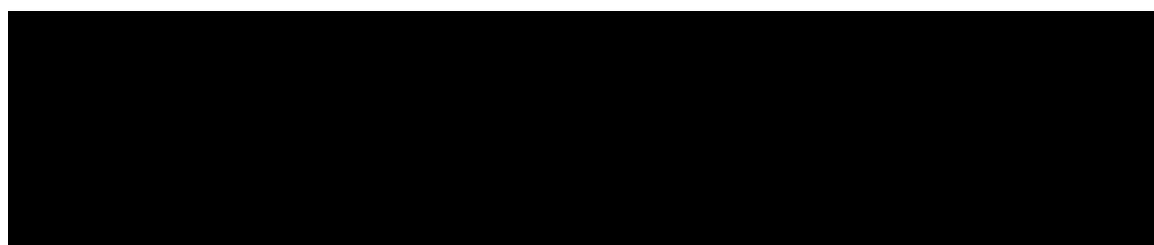
**Oklahoma** (District 5-73)

*Dallas Field Division – Oklahoma City Area Office*



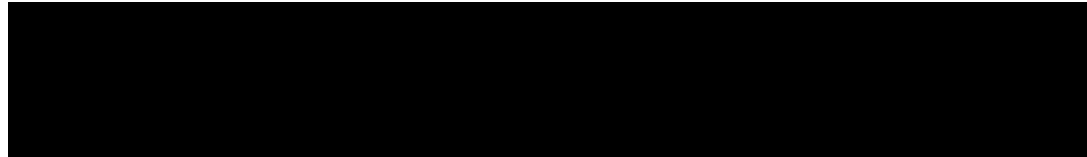
**Oregon** (District 9-93)

Seattle Field Division – Portland Area Office



**Pennsylvania** (Districts 8-23; 8-25)

Philadelphia Field Division – Pittsburgh Area Office  
Philadelphia Field Division – Wilkes-Barre Area Office  
Philadelphia Field Division – Harrisburg Area Office  
Philadelphia Field Division – Lansdale Area Office



**Puerto Rico** (District 1-66)

Miami Field Division – Puerto Rico Area Office



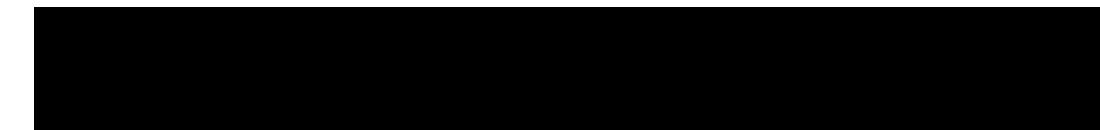
**Rhode Island** (District 6-05)

Boston Field Division – Boston Area Office



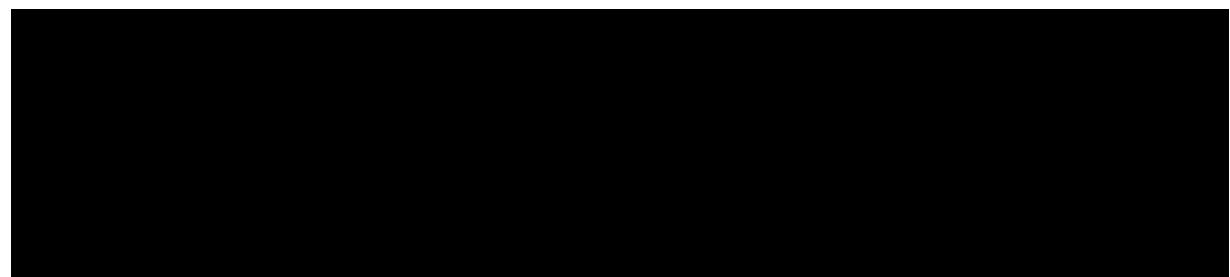
**South Carolina** (District 1-57)

Charlotte Field Division – Columbia II Area Office



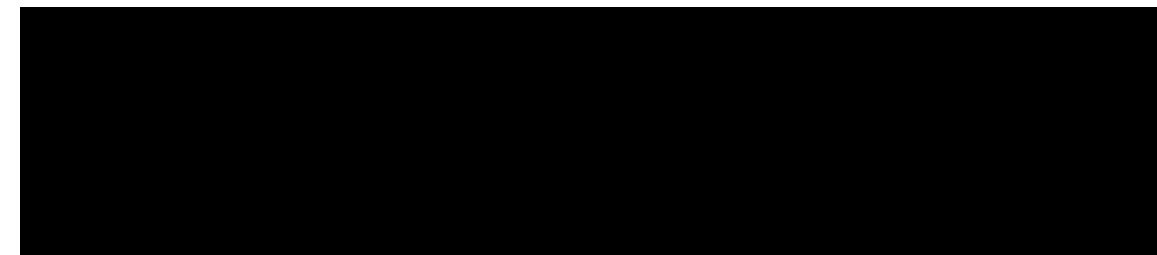
**South Dakota** (District 3-46)

St. Paul Field Division – St. Paul Area Office

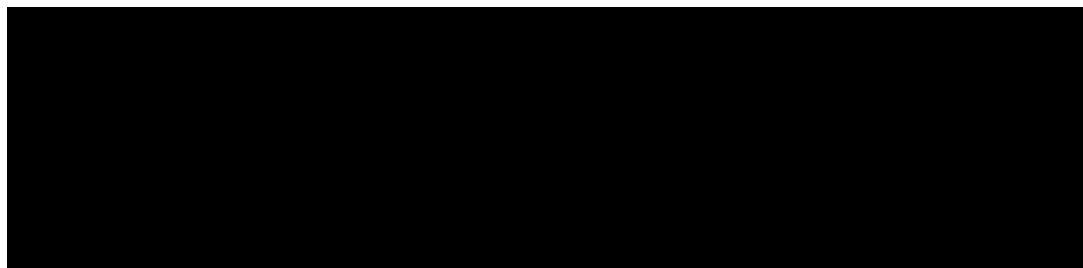


**Tennessee** (District 1-62)

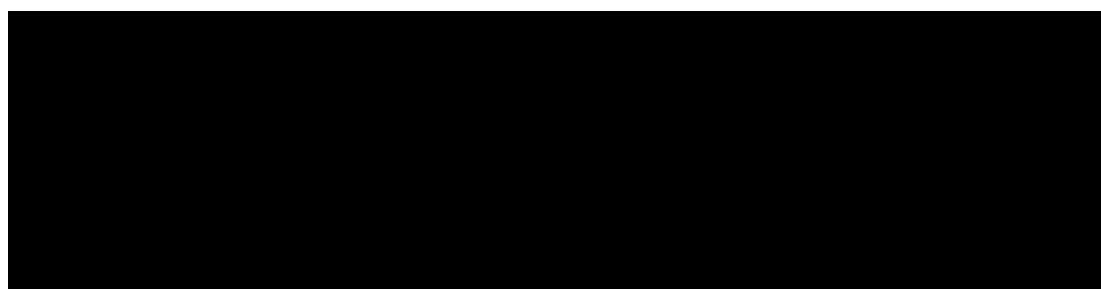
Nashville Field Division – Nashville II Area Office



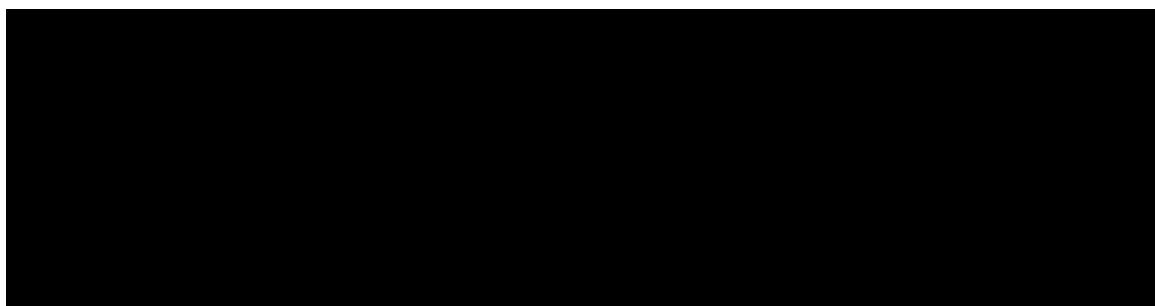
Nashville Field Division – Nashville IV Area Office



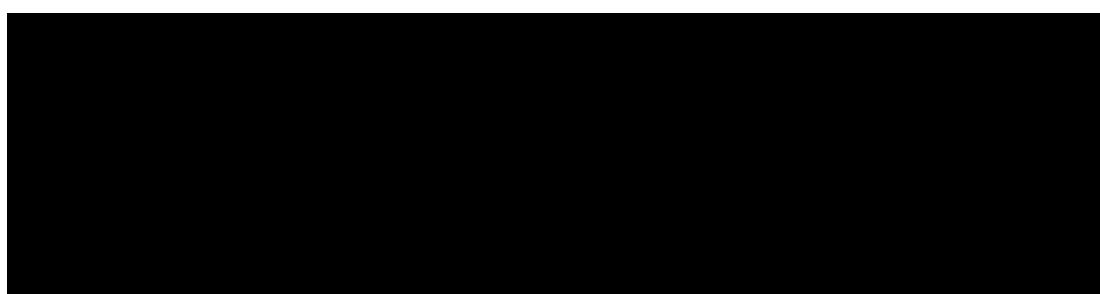
**Texas (District 5-75)**  
Dallas Field Division – Dallas V Area Office



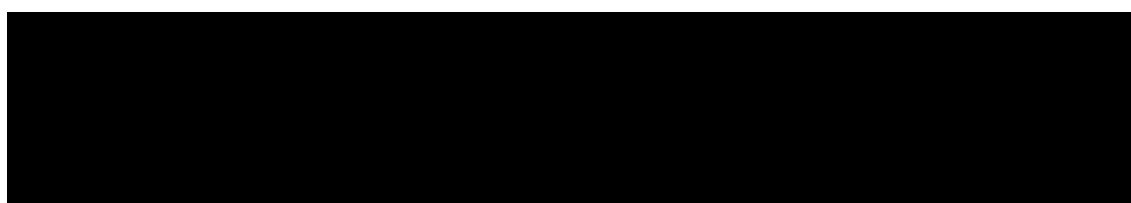
Dallas Field Division – Dallas VI Area Office



Dallas Field Division – Fort Worth Area Office



Dallas Field Division – Lubbock Area Office



**Texas** (District 5-76)  
Dallas Field Division – Houston VI Area Office

Dallas Field Division – Houston VII Area Office

**Texas** (District 5-74)  
Houston Field Division – Lubbock Area Office

Houston Field Division – San Antonio Area Office

Houston Field Division – McAllen II Area Office

**Utah** (District 9-87)  
Denver Field Division – Salt Lake City II Area Office

**Vermont** (District 6-03)  
Boston Field Division – Hartford Area Office

**Virginia** (District 1-54)

Washington Field Division – Roanoke/Bristol Area Office  
Washington Field Division – Richmond/Norfolk Area Office  
Page 127 of 172

**Virgin Islands** (District 1-66)  
Miami Field Division – Puerto Rico Area Office

**Washington** (District 9-91)  
Seattle Field Division – Seattle Area Office

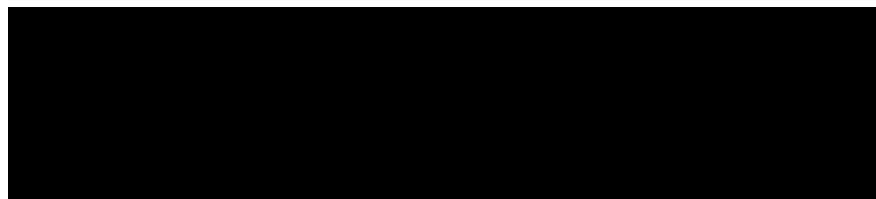
Seattle Field Division – Spokane Area Office

**West Virginia** (District 4-55)  
Louisville Field Division – Charleston II Area Office

Louisville Field Division – Falls Church Area Office

**Wisconsin** (District 3-39)  
St. Paul Field Division – Milwaukee II Area Office

**Wyoming** (District 5-83)  
Denver Field Division – Denver Area Office



**From:** [Han, Jonathan J.](#)  
**To:** [Lintner, Ernest A.](#)  
**Cc:** [Thompson, Clint R.](#)  
**Subject:** Background Check  
**Date:** Wednesday, March 25, 2020 7:32:51 PM  
**Attachments:** [Holland ATF Document.pdf](#)  
[image002.jpg](#)  
[image001.png](#)  
[image002.jpg](#)

---

Hello, Mr. Lintner,

I hope you are well ☺. I believe my boss, Clint Thompson, from Las Vegas FO talked to you about this special case involving a licensee that is going through a bankruptcy proceeding. The representative of bankruptcy court need to receive firearms from the licensee but the licensee never established an account with Nevada POC for background checks. The attached is the 4473 completed by the representative and we will be assisting with the transfer on site tomorrow. I was wondering if you can conduct background check tomorrow while we are on site to execute the 4473.

Thank you in advance and please give me a call on my cell listed below if there are any questions.

Thank you sir,

***Jonathan J. Han***

Industry Operations Investigator  
Bureau of Alcohol, Tobacco, Firearms and Explosives  
San Francisco Field Division/ Las Vegas III Field Office  
Office: [REDACTED]  
Cell: [REDACTED]

**From:** [REDACTED]  
**Sent:** Friday, March 6, 2020 4:14 PM  
**To:** Han, Jonathan J. [REDACTED]  
**Subject:** Re: Jimenez Arms BK-S 20-10752

SA Han,

My application is attached.

Bill

William M Holland, CFE  
Federal Bankruptcy Investigator  
Nevada District Court Receiver  
2850 S. Jones Blvd., Suite 1  
Las Vegas, Nevada 89146

[REDACTED] Office  
[REDACTED] Cellular

In a message dated 3/6/2020 10:55:01 AM Pacific Standard Time, [REDACTED] writes:

---

**From:** Han, Jonathan J.  
**Sent:** Friday, March 6, 2020 10:49 AM  
**To:** [REDACTED]  
**Cc:** [REDACTED]  
**Subject:** RE: Jimenez Arms BK-S 20-10752

Mr. Holland,

Thank you for all your support in resolving this issue. Attached is the ATF Form 4473. I would appreciate it if you can complete the form and send it back to me for background check processing. After the background check, we will forward the form over to Paul Jimenez to complete the transferred firearms part. We also need to execute the form together at the place where the firearms are stored. We will make sure that the firearms listed on this form matches what you have in inventory. Also, Paul Jimenez can access the computer to finalize the firearms records and download it for submission to ATF.

Please let me know if you have any questions.

Thank you!

***Jonathan J. Han***

Industry Operations Investigator

Bureau of Alcohol, Tobacco, Firearms and Explosives

San Francisco Field Division/ Las Vegas III Field Office

Office: [REDACTED]

Cell: [REDACTED]

**From:** [REDACTED] >  
**Sent:** Friday, March 6, 2020 10:12 AM  
**To:** Han, Jonathan J. [REDACTED] >  
**Subject:** Jimenez Arms BK-S 20-10752

SA Han,

As requested I'm sending you an email regarding myself and the transfer of all of the gun frames and parts from the bankruptcy case of Jimenez Arms. I have given you the basic info on me at this time.

Thanks,

Bill Holland

William M Holland, CFE

Federal Bankruptcy Investigator

Nevada District Court Receiver

2850 S. Jones Blvd., Suite 1

Las Vegas, Nevada 89146

[REDACTED]

Office

[REDACTED]

Cellular

## Firearms Transaction Record

**WARNING:** You may not receive a firearm if prohibited by Federal or State law. The information you provide will be used to determine whether you are prohibited from receiving a firearm. Certain violations of the Gun Control Act, 18 U.S.C. 921 et. seq., are punishable by up to 10 years imprisonment and/or up to a \$250,000 fine.

Transferor's/  
Seller's  
Transaction Serial  
Number (If any)

Read the Notices, Instructions, and Definitions on this form. Prepare in original only at the licensed premises ("licensed premises" includes business temporarily conducted from a qualifying gun show or event in the same State in which the licensed premises is located) unless the transaction qualifies under 18 U.S.C. 922(c). All entries must be handwritten in ink. "PLEASE PRINT."

### Section A - Must Be Completed Personally By Transferee/Buyer

1. Transferee's/Buyer's Full Name (If legal name contain an initial only, record "IO" after the initial. If no middle initial or name, record "NMN".)

Last Name (Including suffix (e.g., Jr, Sr, II, III))  Holland	First Name  William	Middle Name  Morris
---	---------------------------	---------------------------

2. Current State of Residence and Address (U.S. Postal abbreviations are acceptable. Cannot be a post office box.)

Number and Street Address  [REDACTED]	City  Las Vegas	County  USA	State  NV	ZIP Code  [REDACTED]
---	-----------------------	-------------------	-----------------	----------------------------

3. Place of Birth U.S. City and State  [REDACTED]	4. Height Ft. In.  [REDACTED]	5. Weight (LBS.)  [REDACTED]	6. Sex  [REDACTED]	7. Birth Date Month Day Year  [REDACTED]
-OR-	Foreign Country  [REDACTED]			

8. Social Security Number (*Optimal, but will help prevent misidentification*)  
  
[REDACTED]

9. Unique Personal Identification Number (UPIN) if applicable (See Instructions for Question 9.)  
  
[REDACTED]

10.a. Ethnicity  [REDACTED]	10.b. Race (In addition to ethnicity, select one or more race in 10.b. Both 10.a. and 10.b. must be answered.)  [REDACTED]
-----------------------------------	--

11. Answer the following questions by checking or marking "yes" or "no" in the boxes to the right of the questions.

- |   |   |  |
|---|---|--|
| a. Are you the actual transferee/buyer of the firearm(s) listed on this form? Warning: You are not the actual transferee/buyer if you are acquiring the firearm(s) on behalf of another person. If you are not the actual transferee/buyer, the licensee cannot transfer the firearm(s) to you. Exception: If you are picking up a repaired firearm(s) for another person, you are not required to answer 11.a. and may proceed to question 11.b. (See Instructions for Question 11.a.) | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/>            |
| b. Are you under indictment or information in any court for a felony, or any other crime for which the judge could imprison you for more than one year? (See Instructions for Question 11.b.)   | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| c. Have you ever been convicted in any court of a felony, or any other crime for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See Instructions for Question 11.c.)   | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| d. Are you a fugitive from justice? (See Instructions for Question 11.d.)   | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| e. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance? Warning: The use or possession of marijuana remains unlawful under Federal law regardless of whether it has been legalized or decriminalized for medicinal or recreational purposes in the state where you reside.  | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| f. Have you ever been adjudicated as a mental defective OR have you ever been committed to a mental institution? (See Instructions for Question 11.f.)  | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| g. Have you been discharged from the Armed Forces under dishonorable conditions?  | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| h. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See Instructions for Question 11.h.)  | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| i. Have you ever been convicted in any court of a misdemeanor crime of domestic violence? (See Instructions for Question 11.i.)   | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |

12.a. Country of Citizenship: (Check/List more than one, if applicable. Nationals of the United States may check U.S.A.)

United States of America (U.S.A.)  Other Country/Countries (Specify)

- |  |   |  |
|--|---|--|
| 12.b. Have you ever renounced your United States citizenship?  | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| 12.c. Are you an alien illegally or unlawfully in the United States?   | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| 12.d.1. Are you an alien who has been admitted to the United States under a nonimmigrant visa? (See Instructions for Question 12.d.) | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| 12.d.2. If "yes", do you fall within any of the exceptions stated in the instructions?   | <input checked="" type="checkbox"/> N/A |  |

13. If you are an alien, record your U.S.-Issued Alien or Admission number (AR#, USCIS#, or I94#):

Previous Editions Are Obsolete

**Transferee/Buyer Continue to Next Page**  
**STAPLE IF PAGES BECOME SEPARATED**

I certify that my answers in Section A are true, correct, and complete. I have read and understand the Notices, Instructions, and Definitions on ATF Form 4473. I understand that answering "yes" to question 11.a. if I am not the actual transferee/buyer is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I understand that a person who answers "yes" to any of the questions 11.b. through 11.i and/or 12.b. through 12.c. is prohibited from purchasing or receiving a firearm. I understand that a person who answers "yes" to question 12.d.1. is prohibited from receiving or possessing a firearm, unless the person answers "yes" to question 12.d.2. and provides the documentation required in 18.c. I also understand that making any false oral or written statement, or exhibiting any false or misrepresented identification with respect to this transaction, is a crime punishable as a felony under Federal law, and may also violate State and/or local law. I further understand that the repetitive purchase of firearms for the purpose of resale for livelihood and profit without a Federal firearms license is a violation of Federal law. (See Instructions for Question 14.)

14. Transferee's/Buyer's Signature



15. Certification Date  
March 6, 2020

### Section B - Must Be Completed By Transferor/Seller

16. Type of firearm(s) to be transferred (check or mark all that apply):

Handgun     Long Gun (rifles or shotguns)     Other Firearm (frame, receiver, etc, See Instructions for Question 16.)

17. If transfer is at a qualifying gun show or event:

Name of Function:

City, State:

18.a. Identification (e.g., Virginia Driver's license (VA DL) or other valid government-issued photo identification.) (See Instructions for Question 18.a.)

Issuing Authority and Type of Identification

Number on Identification

Expiration Date of Identification (if any)

Month Day Year

State of Nevada Drivers License



18.b. Supplemental Government Issued Documentation (if identification document does not show current residence address) (See Instructions for Question 18.b.)

18.c. Exception to the Nonimmigrant Alien Prohibition: If the transferee/buyer answered "YES" to 12.d.2. the transferor/seller must record the type of documentation showing the exception to the prohibition and attach a copy to this ATF Form 4473. (See Instructions for Question 18.c.)

### Questions 19, 20, or 21 Must Be Completed Prior To The Transfer Of The Firearm(s) (See Instructions for Questions 19, 20 and 21.)

19.a. Date the transferee's/buyer's identifying information in Section A was transmitted to NICS or the appropriate State agency:

Month	Day	Year
-------	-----	------

19.b. The NICS or State transaction number (if provided) was:

19.c. The response initially (first) provided by NICS or the appropriate State agency was:

Proceed     Delayed  
 Denied    [The firearm(s) may be transferred on \_\_\_\_\_ if State law permits (optional)]  
 Cancelled

19.d. The following response(s) was/were later received from NICS or the appropriate State agency:

Proceed \_\_\_\_\_ (date)     Overturned  
 Denied \_\_\_\_\_ (date)  
 Cancelled \_\_\_\_\_ (date)  
 No response was provided within 3 business days.

19.e. (Complete if applicable.) After the firearm was transferred, the following response was received from NICS or the appropriate State agency on:

\_\_\_\_\_ (date).

Proceed

Denied

Cancelled

19.f. The name and Brady identification number of the NICS examiner. (Optional)

(name)

(number)

19.g. Name of FFL Employee Completing NICS check. (Optional)

20.  No NICS check was required because a background check was completed during the NFA approval process on the individual who will receive the NFA firearm(s), as reflected on the approved NFA application. (See Instructions for Question 20.)

21.  No NICS check was required because the transferee/buyer has a valid permit from the State where the transfer is to take place, which qualifies as an exemption to NICS. (See Instructions for Question 21.)

Issuing State and Permit Type

Date of Issuance (if any)

Expiration Date (if any)

Permit Number (if any)

### Section C - Must Be Completed Personally By Transferee/Buyer

If the transfer of the firearm(s) takes place on a different day from the date that the transferee/buyer signed Section A, the transferee/buyer must complete Section C immediately prior to the transfer of the firearm(s). (See Instructions for Question 22 and 23.)

I certify that my answers to the questions in Section A of this form are still true, correct, and complete.

22. Transferee's/Buyer's Signature

23. Recertification Date

Transferor/Seller Continue to Next Page  
STAPLE IF PAGES BECOME SEPARATED

**From:** [Lintner, Ernest A.](#)  
**To:** [Han, Jonathan J.](#)  
**Cc:** [Thompson, Clint R.](#)  
**Subject:** RE: Background Check  
**Date:** Thursday, March 26, 2020 8:05:04 AM  
**Attachments:** [image001.png](#)  
  [image003.jpg](#)  
  [image004.jpg](#)  
  [Holland NICS Check.pdf](#)

---

Auto-Proceed.

Keep your distance gents.

---

**From:** Han, Jonathan J. [REDACTED]  
**Sent:** Wednesday, March 25, 2020 7:33 PM  
**To:** Lintner, Ernest A. [REDACTED]  
**Cc:** Thompson, Clint R. [REDACTED]  
**Subject:** Background Check

Hello, Mr. Lintner,

I hope you are well ☺. I believe my boss, Clint Thompson, from Las Vegas FO talked to you about this special case involving a licensee that is going through a bankruptcy proceeding. The representative of bankruptcy court need to receive firearms from the licensee but the licensee never established an account with Nevada POC for background checks. The attached is the 4473 completed by the representative and we will be assisting with the transfer on site tomorrow. I was wondering if you can conduct background check tomorrow while we are on site to execute the 4473.

Thank you in advance and please give me a call on my cell listed below if there are any questions.

Thank you sir,

***Jonathan J. Han***  
Industry Operations Investigator  
Bureau of Alcohol, Tobacco, Firearms and Explosives  
San Francisco Field Division/ Las Vegas III Field Office  
Office: [REDACTED]  
Cell: [REDACTED]

**From:** [REDACTED] <[REDACTED]>  
**Sent:** Friday, March 6, 2020 4:14 PM  
**To:** Han, Jonathan J. [REDACTED]  
**Subject:** Re: Jimenez Arms BK-S 20-10752

SA Han,

ATF0841

My application is attached.

Bill

William M Holland, CFE  
Federal Bankruptcy Investigator  
Nevada District Court Receiver  
2850 S. Jones Blvd., Suite 1  
Las Vegas, Nevada 89146

[REDACTED]  
Office  
Cellular

In a message dated 3/6/2020 10:55:01 AM Pacific Standard Time, [REDACTED]  
writes:

---

**From:** Han, Jonathan J.  
**Sent:** Friday, March 6, 2020 10:49 AM  
**To:** [REDACTED]  
**Cc:** [REDACTED]  
**Subject:** RE: Jimenez Arms BK-S 20-10752

Mr. Holland,

Thank you for all your support in resolving this issue. Attached is the ATF Form 4473. I would appreciate it if you can complete the form and send it back to me for background check processing. After the background check, we will forward the form over to Paul Jimenez to complete the transferred firearms part. We also need to execute the form together at the place where the firearms are stored. We will make sure that the firearms listed on this form matches what you have in inventory. Also, Paul Jimenez can access the computer to finalize the firearms records and download it for submission to ATF.

Please let me know if you have any questions.

Thank you!

***Jonathan J. Han***

Industry Operations Investigator

ATF0842

Bureau of Alcohol, Tobacco, Firearms and Explosives

San Francisco Field Division/ Las Vegas III Field Office

Office: [REDACTED]

Cell: [REDACTED]

**From:** [REDACTED] <[REDACTED]>

**Sent:** Friday, March 6, 2020 10:12 AM

**To:** Han, Jonathan J. <[REDACTED]>

**Subject:** Jimenez Arms BK-S 20-10752

SA Han,

As requested I'm sending you an email regarding myself and the transfer of all of the gun frames and parts from the bankruptcy case of Jimenez Arms. I have given you the basic info on me at this time.

Thanks,

Bill Holland

William M Holland, CFE

Federal Bankruptcy Investigator

Nevada District Court Receiver

2850 S. Jones Blvd., Suite 1

Las Vegas, Nevada 89146

[REDACTED] Office

[REDACTED] Cellular

ATF0843

### Search Request Details

The following is a list of detailed information for the selected transaction.

NTN [REDACTED]

Created Date 3/26/20 8:03 AM

Expiration Date 4/25/20 8:03 AM

Last Name Holland

First Name William

Middle Name Morris

Cadence (Ex. Jr., Sr., III) Not Supplied

Gender [REDACTED]

Height Not Supplied

Weight Not Supplied

Race and/or Ethnicity [REDACTED]

Date of Birth [REDACTED]

Place of Birth [REDACTED]

Social Security No [REDACTED]

UPIN Not Supplied

Miscellaneous No [REDACTED]

Miscellaneous Field IOI Han, Bankruptcy FFL receivership/trustee acquiring firearms

State of Residence NV

Citizenship C

Country of Citizenship US

Country of Citizenship 2 Not Supplied

Country of Citizenship 3 Not Supplied

Purpose ID 35

Submitted By elintner1

Retrieved By elintner1

Retrieved Date 3/26/20 8:03 AM

Status Proceed

Status Date 3/26/2020 8:03 AM

**From:** [Thompson, Clint R.](#)  
**To:** [Lintner, Ernest A.](#); [Han, Jonathan J.](#)  
**Subject:** RE: Background Check  
**Date:** Thursday, March 26, 2020 11:19:27 AM  
**Attachments:** [image001.png](#)  
  [image002.jpg](#)  
  [image005.jpg](#)

---

Thanks Ernie!

---

**From:** Lintner, Ernest A. [REDACTED]  
**Sent:** Thursday, March 26, 2020 5:05 AM  
**To:** Han, Jonathan J. [REDACTED]  
**Cc:** Thompson, Clint R. [REDACTED]  
**Subject:** RE: Background Check

Auto-Proceed.

Keep your distance gents.

---

**From:** Han, Jonathan J. [REDACTED]  
**Sent:** Wednesday, March 25, 2020 7:33 PM  
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Industry Operations Investigator  
Bureau of Alcohol, Tobacco, Firearms and Explosives  
San Francisco Field Division/ Las Vegas III Field Office  
Office: [REDACTED]  
Cell: [REDACTED]

ATF0845

**From:** [REDACTED] <[REDACTED]>  
**Sent:** Friday, March 6, 2020 4:14 PM  
**To:** Han, Jonathan J. [REDACTED]  
**Subject:** Re: Jimenez Arms BK-S 20-10752

SA Han,

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Bill

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Las Vegas, Nevada 89146

[REDACTED] Office

[REDACTED] Cellular

In a message dated 3/6/2020 10:55:01 AM Pacific Standard Time, [REDACTED] writes:

---

**From:** Han, Jonathan J.  
**Sent:** Friday, March 6, 2020 10:49 AM  
**To:** [REDACTED]  
**Cc:** [REDACTED]  
**Subject:** RE: Jimenez Arms BK-S 20-10752

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***Jonathan J. Han***

Industry Operations Investigator

Bureau of Alcohol, Tobacco, Firearms and Explosives

San Francisco Field Division/ Las Vegas III Field Office

Office: [REDACTED]

Cell: [REDACTED]

**From:** [REDACTED] <[REDACTED]>  
**Sent:** Friday, March 6, 2020 10:12 AM  
**To:** Han, Jonathan J. <[REDACTED]>  
**Subject:** Jimenez Arms BK-S 20-10752

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Bill Holland

William M Holland, CFE

Federal Bankruptcy Investigator

Nevada District Court Receiver

2850 S. Jones Blvd., Suite 1

Las Vegas, Nevada 89146

[REDACTED] Office

[REDACTED] Cellular

**From:** [monique jimenez](#)  
**To:** [Han, Jonathan J.](#)  
**Subject:** JA Inc Open Inventory  
**Date:** Thursday, March 26, 2020 1:26:25 PM  
**Attachments:** [Open Inventory 3.26.2020.xls](#)

---

Original

Original

Jimenez A J.A.22	Frame	0.22
Jimenez A J.A.NINE	Pistol	9MM
Bryco Arm M38	Pistol	0.38
Jimenez A J.A.22	Frame	.22
Jimenez A J.A.22	Frame	0.22
Jimenez A J.A.22	Frame	.22
Jimenez A J.A.22	Pistol	.22
Jimenez A J.A.22	Frame	0.22
Jimenez A J.A.22	Frame	0.22
Jimenez A J.A.22	Frame	.22
Jimenez A J.A.22	Frame	.22
Jimenez A J.A.22	Pistol	.22
Jimenez A J.A.22	Frame	0.22
Internation J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Jimenez A J.A.22	Frame	0.22
Jimenez A J.A.22	Frame	0.22
Bryco Arm Jennings N	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Bryco Jennings	Pistol	9MM
Bryco Arm J-NINE	Pistol	9MM
bryco arm nine	Pistol	9MM
Jimenez A J.A.380	Pistol	.380
Bryco MDL NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.T-380		.380
Jimenez A J.A.T	Pistol	.380
Jimenez A J.A.T-380	Pistol	.380
Jimenez A J.A.T-380	Pistol	.380
Jimenez A J.A.T-380	Frame	.380
Jimenez A J.A.T-380	Frame	.380
Jimenez A J.A.T-380	Frame	.380
Jimenez A J.A.T-380	Frame	.380
Jimenez A J.A.T-380	Frame	.380
Jimenez A J.A.T-380	Pistol	.380
Jimenez A J.A.T-380	Frame	.380
Bryco Arm Jennings N	Pistol	9MM
Jennings F J-22	Pistol	.22
Jimenez A J.A.NINE	Pistol	9MM
Bryco Arm Jennings r	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
International J.A.25	Pistol	0.25
Jimenez A J.A.25	Pistol	.25
International J.A.25	Pistol	0.25
International J.A.25	Frame	0.25

Original

Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.380	Pistol	.380
Jimenez A J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Jimenez A J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Internation J.A.380	Pistol	0.38
Internation J.A.NINE	Pistol	9MM
Internation J.A.NINE	Pistol	9MM
Internation J.A.NINE	Pistol	9MM
Internation J.A.380	Pistol	0.38
Jimenez A J.A.380	Pistol	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Pistol	0.38
Internation J.A.380	Frame	0.38
Internation J.A.380	Frame	0.38
Internation J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.380	Frame	0.38
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Frame	0.38
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM

Original

Original

Original

## Original

Original

Internation J.A.380	Frame	0.38
Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Frame	.380
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Pistol	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380
Jimenez A J.A.32	Pistol	.32
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380
Internation J.A.T-380	Frame	.380
Jimenez A J.A.T-380	Pistol	.380
Internation J.A.T-380	Frame	.380
Internation J.A.T-380	Frame	.380
Internation J.A.T-380	Frame	.380
IDCI J.A.T-380	Frame	.380
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380

Original

Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Frame	.380
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Frame	.380
Internation J.A.380	Pistol	.380
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380

Original

Internation J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.NINE	Frame	9MM
Internation J.A.380	Frame	.380
Internation J.A.380	Frame	.380
IDCI J.A.380	Frame	.380
IDCI J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
IDCI J.A.380	Frame	.380
Internation J.A.22	Frame	.22
Internation J.A.22	Frame	.22
Jimenez A J.A.22	Pistol	.22
IDCI J.A.22	Frame	.22
IDCI J.A.22	Frame	.22
IDCI J.A.22	Frame	.22
Jimenez A J.A.22	Pistol	.22
IDCI J.A.NINE	Frame	9MM
IDCI J.A.380	Frame	.380
Jimenez A J.A.380	Pistol	.380
IDCI J.A.380	Frame	.380
IDCI J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
IDCI J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
IDCI J.A.NINE	Frame	9MM
IDCI J.A.NINE	Frame	9MM
IDCI J.A.NINE	Frame	9MM
Jimenez A J.A.NINE	Pistol	9MM
IDCI J.A.NINE	Frame	9MM
Jimenez A J.A.22	Pistol	.22
Jimenez A J.A.22	Pistol	.22
IDCI J.A.22	Frame	.22
Jimenez A J.A.22	Pistol	.22
IDCI J.A.22	Frame	.22
Jimenez A J.A.22	Pistol	.22
Jimenez A J.A.22	Pistol	.22

## Original

## Original

## Original

## Original

Original

IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.380	Frame	.380
IDCI	J.A.NINE	Frame	9MM
Jimenez A	J.A.NINE	Pistol	9MM
IDCI	J.A.NINE	Frame	9MM
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
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IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	J.A.22	Frame	.22
IDCI	Jennings / Bryco 38'	Pistol	.380
IDCI	Jennings F Model 38'	Pistol	.380

Original

Jennings F Model 48 Pistol .380  
Bryco Jennings Pistol .22  
Jennings J22 Pistol 0.22  
Jennings F Bryco 59 Pistol 9MM

**From:** [Han, Jonathan J.](#)  
**To:** [monique jimenez](#)  
**Subject:** Discontinuance Form  
**Date:** Friday, March 27, 2020 2:12:00 PM  
**Attachments:** [image001.png](#)  
  [image002.jpg](#)  
  [Discontinuance Notice Signed Jimenez.pdf](#)

---

Hey Monique,

I hope everything is well. Attached is the form Paul signed yesterday. Can you send me a full copy of the 4473 we executed yesterday? I need them to close the case. Also, can you send me a picture of the license certificate and mail it to me?

Thank you!

***Jonathan J. Han***

Industry Operations Investigator  
Bureau of Alcohol, Tobacco, Firearms and Explosives  
San Francisco Field Division/ Las Vegas III Field Office  
Office: [REDACTED]  
Cell: [REDACTED]

**From:** monique jimenez [REDACTED]  
**Sent:** Thursday, March 26, 2020 10:24 AM  
**To:** Han, Jonathan J. [REDACTED]  
**Subject:** JA Inc Open Inventory



**U.S Department of Justice**  
Bureau of Alcohol, Tobacco,  
Firearms and Explosives

*ATF Headquarters*

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99 New York Avenue NE  
Washington, DC 20226  
[www.atf.gov](http://www.atf.gov)

March 26, 2020

JIMENEZ ARMS INC  
7380 EASTGATE ROAD SUITE 150  
HENDERSON , NV 89011  
9-88-00873

Please consider the above listed License/Permit to be discontinued. I am no longer engaged in the type of activity which required the License/Permit. This discontinuance notice is submitted voluntarily.

Full Name	Signature	Title	Date
PAUL JUAN JIMENEZ		PRESIDENT	03/26/2020

ATF0867

**From:** [Williams, Elizabeth M.](#)  
**To:** [Han, Jonathan J.](#)  
**Subject:** RE: for your review sista!  
**Date:** Friday, March 27, 2020 5:03:23 PM  
**Attachments:** [image001.png](#)  
[image003.jpg](#)  
[Jimenez Illegal Firearms SAR Narrative.docx](#)

---

Lol! You've given me plenty of cookies and snacks throughout the last 9+ years! No IOU needed.

Great report Jon!

**Elizabeth M. Williams**  
ATF Industry Operations Investigator  
Las Vegas III (IO) Field Office  
Direct: ( [REDACTED]  
Email: [REDACTED]

---

**From:** Han, Jonathan J. [REDACTED]  
**Sent:** Friday, March 27, 2020 1:54 PM  
**To:** Williams, Elizabeth M. [REDACTED]  
**Subject:** for your review sista!

Sorry no cookies sista. Just IOUs ☺

**Jonathan J. Han**  
Industry Operations Investigator  
Bureau of Alcohol, Tobacco, Firearms and Explosives  
San Francisco Field Division/ Las Vegas III Field Office  
Office: [REDACTED]  
Cell: [REDACTED]

On March 26, 2020, Industry Operations Investigator (IOI) Jonathan Han and Area Supervisor (AS) Clint Thompson arrived at Nellis Auction located in Las Vegas, Nevada to assist Federal Firearms Licensee, Jimenez Arms Inc. (FFL# 9-88-00873) with the discontinuance of business process. At Nellis Auction located at 7440 Dean Martin Dr., Ste 204, Las Vegas, NV 89139, IOI Han met with Paul Jimenez [REDACTED], Responsible Person (RP) of Jimenez Arms Inc. and William Holland ([REDACTED]), Representative of Nevada District Court Receiver.

Jimenez Arms Inc. filed for bankruptcy with Nevada District Court. The remaining firearms inventory was transferred to the bankruptcy court representative, Holland. Prior to executing ATF Form 4473, Firearms Transaction Record, IOI Han and AS Thompson conducted a physical inventory of the firearms being transferred to the bankruptcy court. During the physical inventory, IOI Han identified two illegal firearms located inside a box labeled "ATF." Jimenez stated that the two illegal firearms were reported to ATF and awaiting a pick up from ATF personnel. The details (see attached pictures) of the illegal firearms are the following:

Firearm 1

Manufacturer: Jennings  
Model: J-22  
Caliber: .22  
SN: Completely filed off

Firearm 2

Manufacturer: Jimenez Arms  
Model: JA-22  
Caliber: .22  
SN: 1126376 (with scratches)

The two illegal firearms are currently in possession of Holland, the representative of the bankruptcy court. Holland stated that he would secure the two firearms until ATF personnel are available to seize them. Holland provided the following contact information:

William Holland  
Nevada District Court Receiver  
2850 S. Jones Blvd., Suite 1  
Las Vegas, Nevada 89146  
[REDACTED] Office  
[REDACTED] Cellular

**From:** [Thompson Clint R.](#)  
**To:** SF-CGIC  
**Cc:** Kim Tae-Kyun Huskey James A; Han Jonathan J.  
**Subject:** FW: Industry Operations Report of Suspicious Activity(SUS-2328)  
**Date:** Friday, March 27, 2020 5:50:59 PM  
**Attachments:** [Altered SN Pics.pdf](#)  
[Obliterated SN pics.pdf](#)

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Yesterday the Bankruptcy Court Representative (Williams Holland) took possession of the Jimenez Arms, Inc. remaining firearms inventory. IOI Han and I conducted a complete inventory and came across these firearms. Currently the firearms are stored at Nellis Auctions in a room that only Mr. Holland has access to. I would recommend that the firearms be retrieved as soon as possible as Mr. Holland has been instructed by the court to liquidate the inventory. Mr. Holland is aware that these two firearms have been illegally altered and he has set them aside to be turned over to ATF.

Let me know if you have any questions or if you require our assistance.

Thanks,

Clint

This report of suspicious activity is being sent to you for evaluation. Note: You must notify the sender of this information after it is closed or transferred (see information below). The information below may relate to suspicious activity discovered during the course of an ATF Inspection. If you have questions please contact the person listed below.

Industry Operations Investigator : Jonathan Han  
Field Office: San Francisco Field Division  
Phone: [REDACTED]  
Email: [REDACTED]

---

Type of Suspicious Activity: Prohibited Person – Firearms

Dates of Occurrence: 3/26/2020

Synopsis: Illegal firearms located during FFL assist

Persons(s):

Paul Jimenez  
William Holland

Location:

7440 Dean Martin Dr Unit N/A , Las Vegas, Nevada 89139

Narrative:

On March 26, 2020, Industry Operations Investigator (IOI) Jonathan Han and Area Supervisor (AS) Clint Thompson arrived at Nellis Auction located in Las Vegas, Nevada to assist Federal Firearms Licensee, Jimenez Arms Inc. (FFL# 9-88-00873) with the discontinuance of business process. At Nellis Auction located at 7440 Dean Martin Dr., Ste 204, Las Vegas, NV 89139, IOI Han met with Paul Jimenez ([REDACTED]), Responsible Person (RP) of Jimenez Arms Inc. and William Holland ([REDACTED]), Representative of Nevada District Court Receiver.

Jimenez Arms Inc. filed for bankruptcy with Nevada District Court. The remaining firearms inventory was transferred to the bankruptcy court representative, Holland. Prior to executing ATF Form 4473, Firearms Transaction Record, IOI Han and AS Thompson conducted a physical inventory of the firearms being transferred to the bankruptcy court. During the physical inventory, IOI Han identified two illegal firearms located inside a box labeled "ATF." Jimenez stated that the two illegal firearms were reported to ATF and awaiting a pick up from ATF personnel. The details (see attached pictures) of the illegal firearms are the following:

Firearm 1

Manufacturer: Jennings

Model: J-22

Caliber: .22

SN: Completely filed off

Firearm 2

Manufacturer: Jimenez Arms

Model: JA-22

Caliber: .22

ATF0870

SN: 1126376 (with scratches)

The two illegal firearms are currently in possession of Holland, the representative of the bankruptcy court. Holland stated that he would secure the two firearms until ATF personnel are available to seize them. Holland provided the following contact information:

William Holland  
Nevada District Court Receiver  
2850 S. Jones Blvd., Suite 1  
Las Vegas, Nevada 89146

[REDACTED] Office  
[REDACTED] Cellular

Research Method(s):

Completed Date	Type	Description	Results
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No items

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**After the Report of Suspicious Activity is Closed:**

1. Click [here](#) to open a new email. The new email will automatically include the ATF employee's email address in the "To" line.
2. Verify the subject line contains the ID Number (SUS-2328 )
3. Copy one of the below statuses that pertains to the information and paste it into the body of the email.
  - a. Closed – No further action (Note: If you choose this, you must provide a reason)
  - b. Sent to Criminal Enforcement
  - c. Closed – Intelligence Product Created
4. Ensure your email contains the ID number (SUS-2328) number in the subject line and outcome of the information in the body of the email.
5. Click "send" to send your email regarding the outcome.



ATF0872



# JIMENEZ ARMS, INC.

MANUFACTURERS OF AFFORDABLE FIREARMS

7390 Eastgate Rd. Suite 150  
Henderson, NV 89011  
Phone: (702) 566-5937  
Fax: (702) 566-0724  
FFL #9-58-003-07-1H-00873 Expires: 8/1/2021

## Service Work Order

Page 1 of 1

Service Order #: NV207512

Service Order Date: 12/3/2018

Ship Date:

Customer	Detail	
	Sport About Of Haskell 402 N 1st Haskell, TX 79521-0000 Phone: (940) 864-3891 FFL #: S-75-207-01-9A-31934 FFL Expires: 1/1/2019	

### Services

Serial #	Service Type	Type	Model/Color	Replacement Serial #	Under Warr.	Rate	Qty
1126376	Service	Pistol	J.A.22/Satin Chrome		No	\$0.00	1

1b/0k/0/1m/won't cock/HOLD FOR ATF

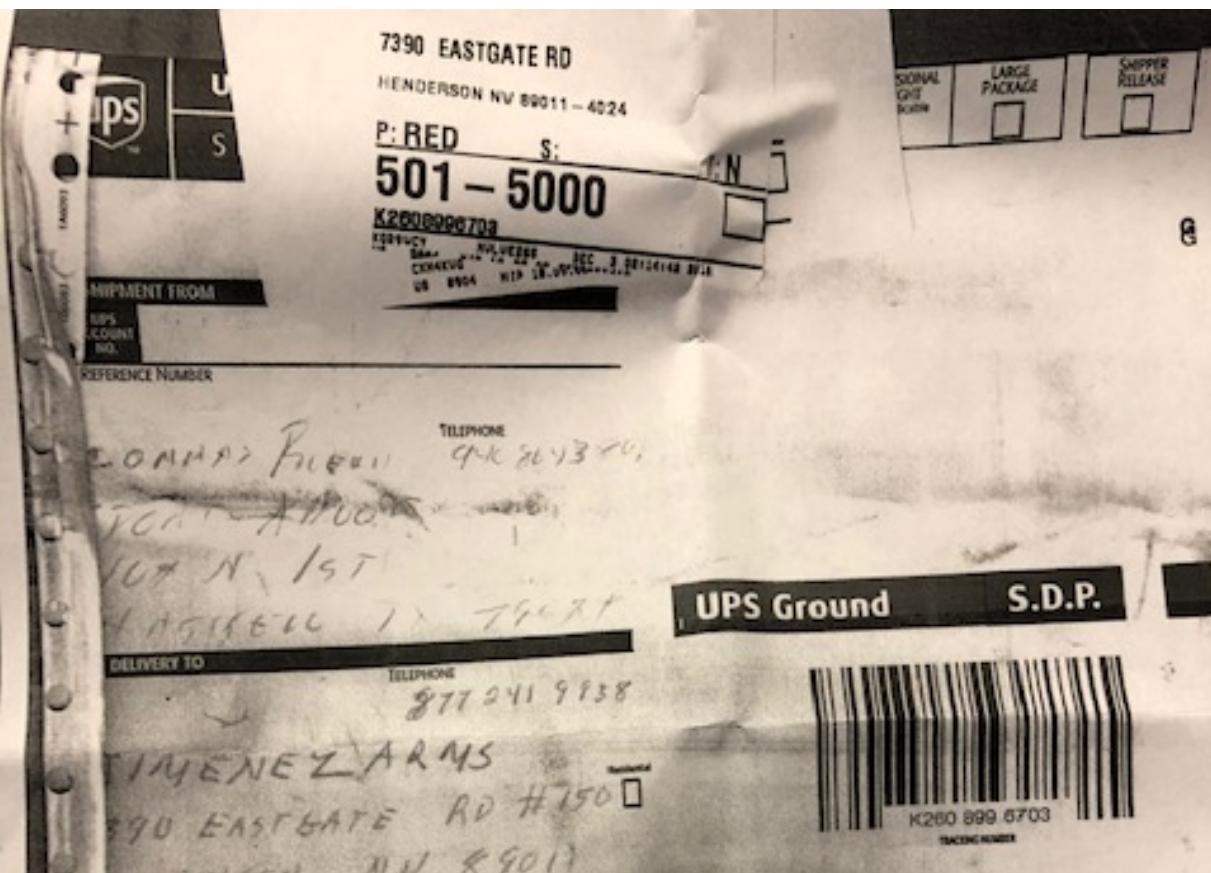
ATF0873

Sport About of Haskell  
402 N 1st Street  
Haskell, Texas 79521

TO: JIMENEZ  
FROM: SPORT ABOUT  
402 N. 1st Street  
Haskell TX 79521  
940-864-~~225~~  
3891  
JIMENEZ JAZZ 292A  
SERIAL # 1126376

WON'T LOOK

THURSDAY  
Paul Roenel



ATF0875

Snip Box



ATF0876



7390 Eastgate Rd. Suite 150  
Henderson, NV 89011  
Phone: (702) 566-5937  
Fax: (702) 566-0724  
FFL #0-58-003-07-BH-00873 Expires: 8/1/2018

## Service Work Order

Page 1 of 1

Service Order #: NV206403  
Service Order Date: 4/24/2018  
Ship Date:

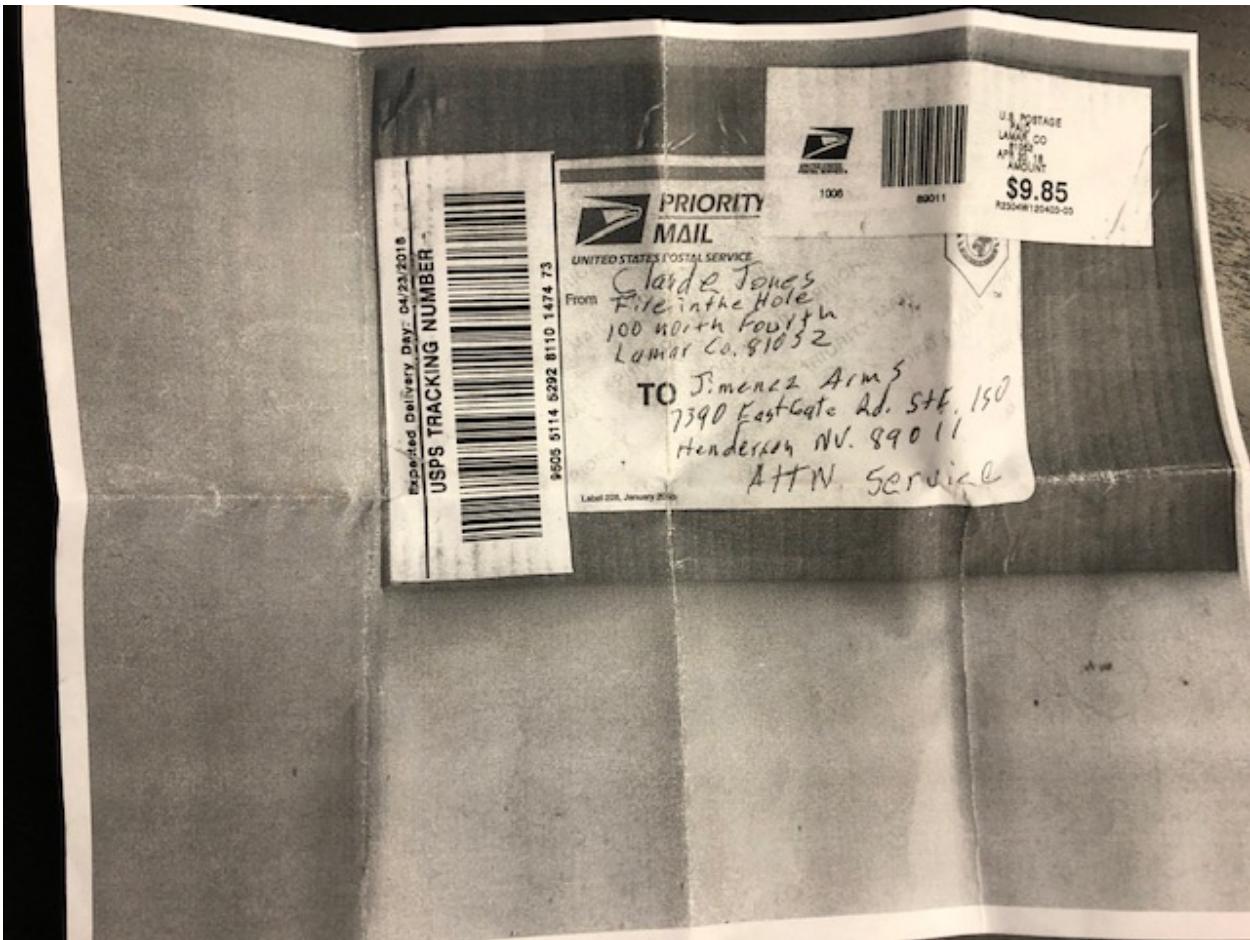
Customer	Dealer
<i>Waiting for ATF!</i>	Jones, Claude L 100 North 4TH Lamar, CO 81052 Phone: 7196884180 FFL #: 5-84-099-07-9J-07182 FFL Expires: 9/1/2019

### Services

Serial #	Service Type	Type	Model/Color	Replacement Serial #	Under Warr.	Rate	Qty
*****	Service	Pistol	Jennings J-22/Polish Black		No	\$0.00	1

Serial number scratched off.

ATF0877



ATF0878

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

Federal Firearms License  
(18 U.S.C. Chapter 44)

In accordance with the provisions of Title I, Gun Control Act of 1968, and the regulations issued thereunder (27 CFR Part 478), you are licensed to engage in the business specified in this license, within the limitations of Chapter 44, Title 18, United States Code, and the regulations issued thereunder, until the expiration date shown. THIS LICENSE IS NOT TRANSFERABLE UNDER 27 CFR 478.51. See "WARNINGS" and "NOTICES" on reverse.

Direct ATF	ATF - Chief, FFLC	License Number	5-84-099-07-9J-07182
Correspondence To	244 Neely Road Martinsburg, WV 25405-9431		
Chief, Federal Firearms Licensing Center (FFLC)	<i>Tracy Robertson</i>	Expiration Date	September 1, 2019
Name	JONES, CLAUDE L		

Premises Address (Changes? Notify the FFLC at least 30 days before the move.)

100 NORTH 4TH  
LAMAR, CO 81052-

Type of License

07-MANUFACTURER OF FIREARMS OTHER THAN DESTRUCTIVE DEVICES

Purchasing Certification Statement

The licensee named above shall use a copy of this license to assist a transferor of firearms to verify the identity and the licensed status of the licensee as provided by 27 CFR Part 478. The signature on each copy must be an original signature. A faxed, scanned or e-mailed copy of the license with a signature intended to be an original signature is acceptable. The signature must be that of the Federal Firearms License (FFL) or a responsible person of the FFL. I certify that this is a true copy of a license issued to the licensee named above to engage in the business specified above under "Type of License."

*Claude Jones*

Licensee Responsible Person Signature

*Owner*

Position/Title

*Claude Jones*

Printed Name

Date

Mailing Address (Changes? Notify the FFLC of any changes.)

JONES, CLAUDE L  
P O BOX 69  
LAMAR, CO 81052-

07-MANUFACTURER OF FIREARMS OTHER THAN DESTRUCTIVE DEVICES

ATF0879

**From:** Kim Tae-Kyun  
**To:** Loudermilk, Christopher D.  
**Cc:** Han, Jonathan J.  
**Subject:** Fwd: Industry Operations Report of Suspicious Activity(SUS-2328)  
**Date:** Friday, March 27, 2020 8:06:59 PM  
**Attachments:** [Altered SN Pics.pdf](#)  
[AT100001.htm](#)  
[Obliterated SN pics.pdf](#)  
[AT100002.htm](#)

---

Chris,

Pls F/U and handle below IOI referral when feasible

Per IOI, the aforementioned FAs were shipped to them as repairs. When the FFL opened up the box, they noticed the obliterated SN and supposedly contacted ATF

Thanks

Tae-Kyun Kim (TK)  
Special Agent  
ATF - Las Vegas I Field Office  
C: [REDACTED]

Begin forwarded message:

**From:** "Thompson, Clint R" [REDACTED]  
**Date:** March 27, 2020 at 2:50:58 PM PDT  
**To:** SF-CGIC [REDACTED] >  
**Cc:** "Kim, Tae-Kyun" [REDACTED], "Huskey, James A" [REDACTED], "Han, Jonathan J" [REDACTED]  
**Subject: FW: Industry Operations Report of Suspicious Activity(SUS-2328)**

Yesterday the Bankruptcy Court Representative (Williams Holland) took possession of the Jimenez Arms, Inc. remaining firearms inventory. IOI Han and I conducted a complete inventory and came across these firearms. Currently the firearms are stored at Nellis Auctions in a room that only Mr. Holland has access to. I would recommend that the firearms be retrieved as soon as possible as Mr. Holland has been instructed by the court to liquidate the inventory. Mr. Holland is aware that these two firearms have been illegally altered and he has set them aside to be turned over to ATF.

Let me know if you have any questions or if you require our assistance.

Thanks,

Clint

This report of suspicious activity is being sent to you for evaluation. Note: You must notify the sender of this information after it is closed or transferred (see information below). The information below may relate to suspicious activity discovered during the course of an ATF Inspection. If you have questions please contact the person listed below

Industry Operations Investigator : Jonathan Han  
Field Office: San Francisco Field Division  
Phone: [REDACTED]  
Email: [REDACTED]

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**Type of Suspicious Activity:** Prohibited Person – Firearms

**Dates of Occurrence:** 3/26/2020

**Synopsis:** Illegal firearms located during FFL assist

**Persons(s):**

Paul Jimenez  
William Holland

**Location:**

7440 Dean Martin Dr Unit N/A , Las Vegas, Nevada 89139

**Narrative:**

On March 26, 2020, Industry Operations Investigator (IOI) Jonathan Han and Area Supervisor (AS) Clint Thompson arrived at Nellis Auction located in Las Vegas, Nevada to assist Federal Firearms Licensee, Jimenez Arms Inc (FFL# 9-88-00873) with the discontinuance of business process. At Nellis Auction located at 7440 Dean Martin Dr , Ste 204, Las Vegas, NV 89139, IOI Han met with Paul Jimenez [REDACTED], Responsible Person (RP) of Jimenez Arms Inc and William Holland [REDACTED], Representative of Nevada District Court Receiver [REDACTED]

Jimenez Arms Inc filed for bankruptcy with Nevada District Court. The remaining firearms inventory was transferred to the bankruptcy

ATF0880

court representative, Holland. Prior to executing ATF Form 4473, Firearms Transaction Record, IOI Han and AS Thompson conducted a physical inventory of the firearms being transferred to the bankruptcy court. During the physical inventory, IOI Han identified two illegal firearms located inside a box labeled "ATF". Jimenez stated that the two illegal firearms were reported to ATF and awaiting a pick up from ATF personnel. The details (see attached pictures) of the illegal firearms are the following:

Firearm 1

Manufacturer: Jennings

Model: J-22

Caliber: .22

SN: Completely filed off

Firearm 2

Manufacturer: Jimenez Arms

Model: JA-22

Caliber: .22

SN: 1126376 (with scratches)

The two illegal firearms are currently in possession of Holland, the representative of the bankruptcy court. Holland stated that he would secure the two firearms until ATF personnel are available to seize them. Holland provided the following contact information:

William Holland

Nevada District Court Receiver

2850 S Jones Blvd , Suite 1

Las Vegas, Nevada 89146

[REDACTED] Office

[REDACTED] Cellular

Research Method(s):

Completed Date	Type	Description	Results
No items			

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**After the Report of Suspicious Activity is Closed:**

- 1 Click [here](#) to open a new email. The new email will automatically include the ATF employee's email address in the "To" line
- 2 Verify the subject line contains the ID Number (SUS-2328 )
- 3 Copy one of the below statuses that pertains to the information and paste it into the body of the email
  - a Closed – No further action (Note: If you choose this, you must provide a reason)
  - b Sent to Criminal Enforcement
  - c Closed – Intelligence Product Created
- 4 Ensure your email contains the ID number (SUS-2328) number in the subject line and outcome of the information in the body of the email
- 5 Click "send" to send your email regarding the outcome



ATF0882



# JIMENEZ ARMS, INC.

MANUFACTURERS OF AFFORDABLE FIREARMS

7390 Eastgate Rd. Suite 150  
Henderson, NV 89011  
Phone: (702) 566-5937  
Fax: (702) 566-0724  
FFL #9-88-003-07-1H-00873 Expires: 8/1/2021

## Service Work Order

Page 1 of 1

Service Order #: NV207512

Service Order Date: 12/3/2018

Ship Date:

Customer	Detail	
	Sport About Of Haskell 402 N 1st Haskell, TX 79521-0000 Phone: (940) 864-3891 FFL #: S-75-207-01-9A-31934 FFL Expires: 1/1/2019	

### Services

Serial #	Service Type	Type	Model/Color	Replacement Serial #	Under Warr.	Rate	Qty
1126376	Service	Pistol	J.A.22/Satin Chrome		No	\$0.00	1

1b/0k/0/1m/won't cock/HOLD FOR ATF

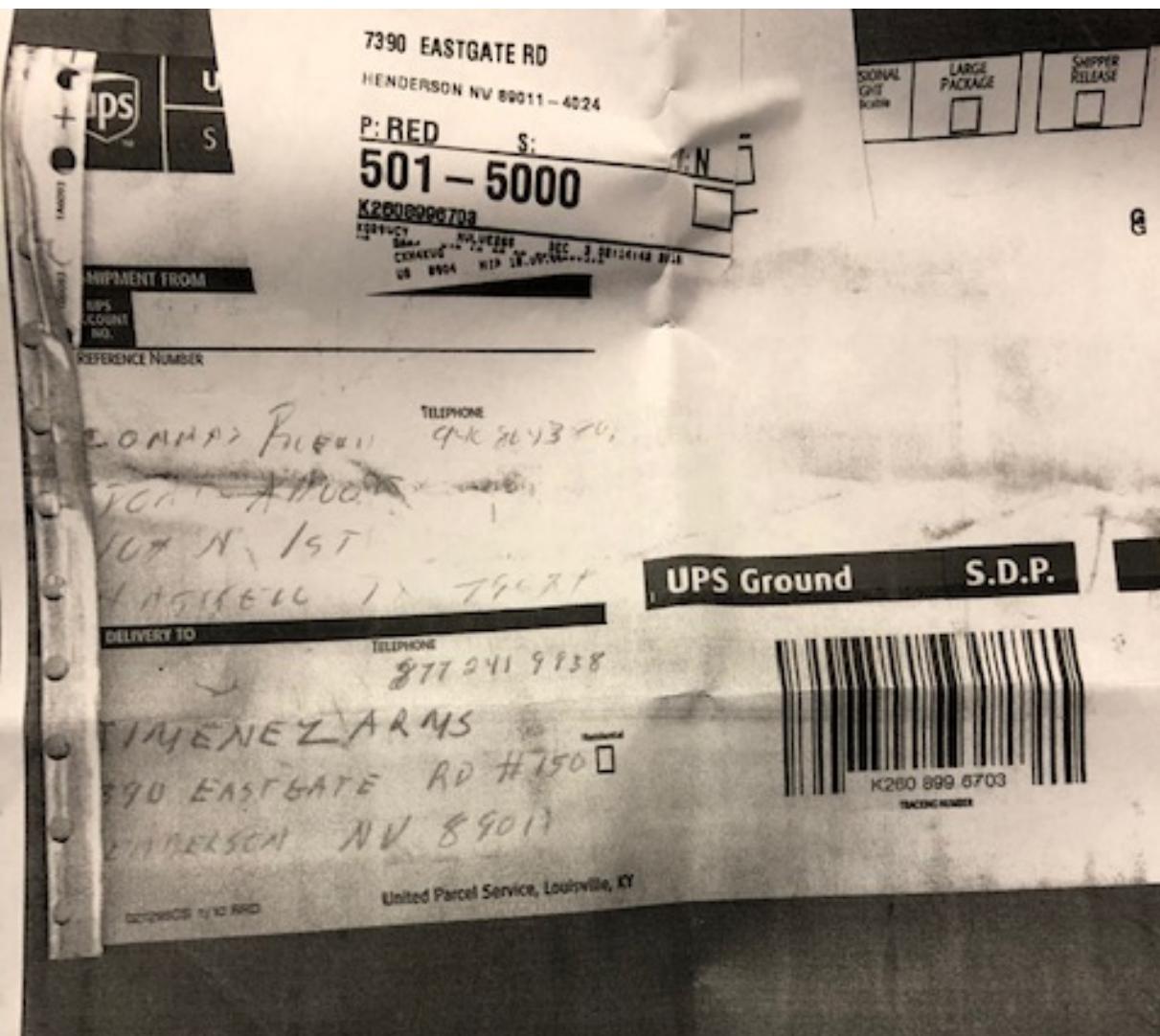
ATF0883

Sport About of Haskell  
402 N 1st Street  
Haskell, Texas 79521

TO: JIMENEZ  
FROM: SPORT ABOUT  
402 N. 1st Street  
Haskell TX 79521  
940-864-~~225~~  
3891  
JIMENEZ JAZZ 292A  
SEAT # 1126376

WON'T LOOK

THURSDAY  
Paul Roenel



ATF0885

Snip Box



ATF0886



7390 Eastgate Rd. Suite 150  
Henderson, NV 89011  
Phone: (702) 566-5937  
Fax: (702) 566-0724  
FFL #0-58-003-07-BH-00873 Expires: 8/1/2018

# Service Work Order

Page 1 of 1

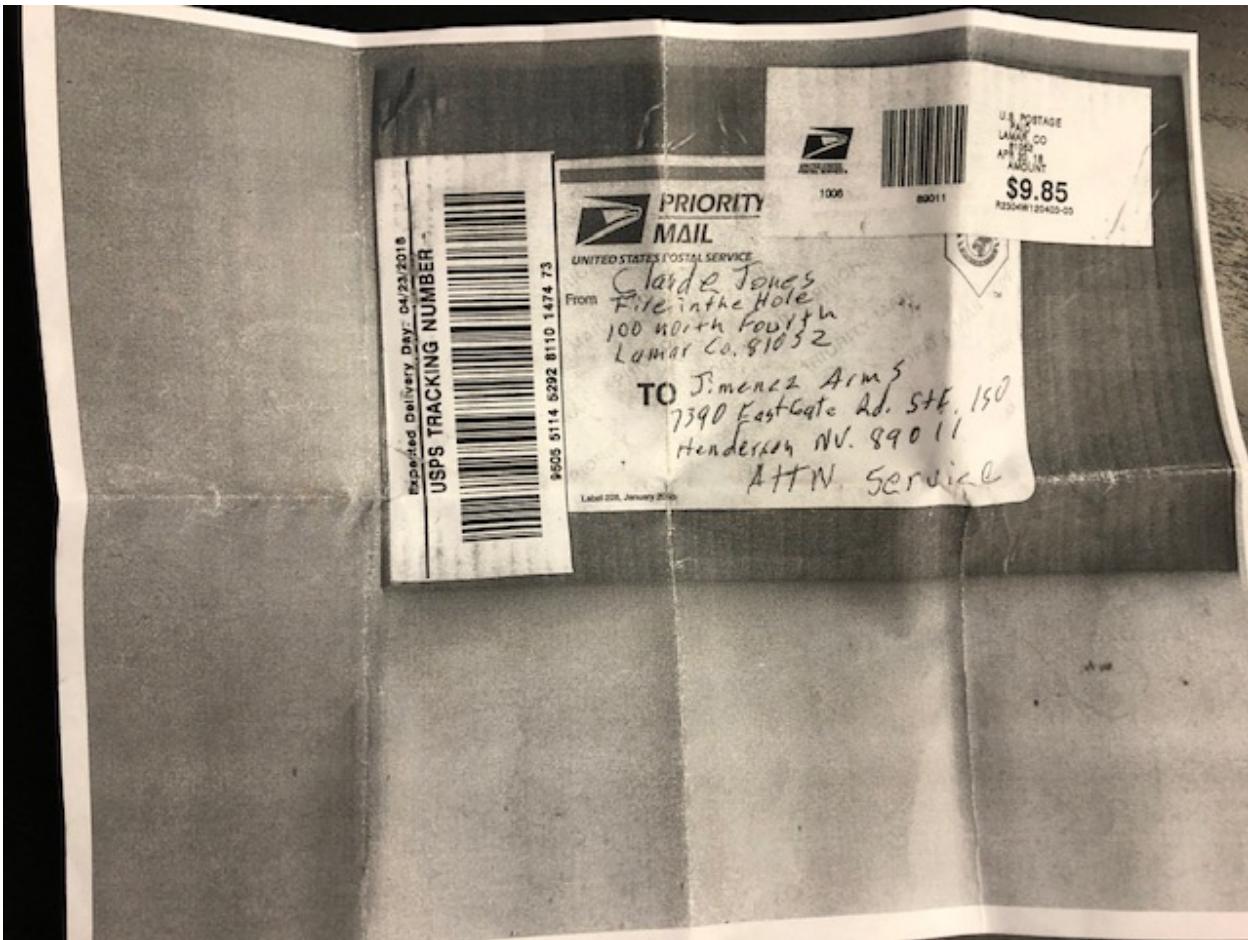
Service Order #: NV206403  
Service Order Date: 4/24/2018  
Ship Date:

Customer	Dealer
<i>Waiting for ATF!</i>	Jones, Claude L 100 North 4TH Lamar, CO 81052 Phone: 7196884180 FFL #: 5-84-099-07-9J-07182 FFL Expires: 9/1/2019

Services							
Serial #	Service Type	Type	Model/Color	Replacement Serial #	Under Warr.	Rate	Qty
*****	Service	Pistol	Jennings J-22/Polish Black		No	\$0.00	1

Serial number scratched off.

ATF0887



ATF0888

U.S. Department of Justice  
Bureau of Alcohol, Tobacco, Firearms and Explosives

Federal Firearms License  
(18 U.S.C. Chapter 44)

In accordance with the provisions of Title I, Gun Control Act of 1968, and the regulations issued thereunder (27 CFR Part 478), you are licensed to engage in the business specified in this license, within the limitations of Chapter 44, Title 18, United States Code, and the regulations issued thereunder, until the expiration date shown. THIS LICENSE IS NOT TRANSFERABLE UNDER 27 CFR 478.51. See "WARNINGS" and "NOTICES" on reverse.

Direct ATF	ATF - Chief, FFLC	License Number	5-84-099-07-9J-07182
Correspondence To	244 Neely Road Martinsburg, WV 25405-9431		
Chief, Federal Firearms Licensing Center (FFLC)	<i>Tracy Robertson</i>	Expiration Date	September 1, 2019
Name	JONES, CLAUDE L		

Premises Address (Changes? Notify the FFLC at least 30 days before the move.)

100 NORTH 4TH  
LAMAR, CO 81052-

Type of License

07-MANUFACTURER OF FIREARMS OTHER THAN DESTRUCTIVE DEVICES

Purchasing Certification Statement

The licensee named above shall use a copy of this license to assist a transferor of firearms to verify the identity and the licensed status of the licensee as provided by 27 CFR Part 478. The signature on each copy must be an original signature. A faxed, scanned or e-mailed copy of the license with a signature intended to be an original signature is acceptable. The signature must be that of the Federal Firearms License (FFL) or a responsible person of the FFL. I certify that this is a true copy of a license issued to the licensee named above to engage in the business specified above under "Type of License."

*Claude Jones*

Licensee Responsible Person Signature

*Owner*

Position/Title

*Claude Jones*

Printed Name

Date

Mailing Address (Changes? Notify the FFLC of any changes.)

JONES, CLAUDE L  
P O BOX 69  
LAMAR, CO 81052-

07-00000000000000000000000000000000

ATF0889